THE UNIVERSITY OF ALBERTA

PRINCIPALS' PERCEPTIONS OF CHANGE PROCESSES

By

RHONDA FISCHER ©

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The undersigned certify that they have read, and recommend to the Faculty of Graduate Studies and Research for acceptance, a thesis entitled PRINCIPALS' PERCEPTIONS OF CHANGE PROCESSES submitted by Rhonda Fischer in partial fulfillment of the requirements for degree of Master of Education in Educational Administration and Leadership.

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Abstract

The purpose of this study was to determine how three female principals use change in daily practice to help them reach the goals they have for their school. I also explored the problems principals encounter, the strategies principals use, how they create an environment conducive to change, and how staff are monitored and involved during the change process.

The following themes emerged from the interview data: relationships with staff, including how well the principal knew their staff; the relationship that existed amongst the entire staff; timing and the leadership style employed by each principal; understanding the need for change including seeing a need to change; changing because a need existed; getting others to see the need for change; and considering change in light of the entire school; and working through others by modeling beliefs, sharing personal visions, delegating responsibility and supporting teachers during the change process.

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TABLE OF CONTENTS

Chapter Page

1. Introduction and Statement of the Problem 1
    Purpose of the Study..2
    Research Questions..2
    Justification for the Study..2
  Research Methodology..3
    Research Design..3
    Description of Participants..5
    Data Collection..5
    Data Analysis..7
    Trustworthiness of the Data..7
    Delimitations..9
    Organization of the Thesis..9

2. Literature Review..10
    Vision and Goals lead to School Change..12
  Models of Change..14
    Fullan's Model..14
    Sergiovanni's Model..18
    Leithwood's Model..20
  Change Premises..23
    Change is Personal and Contextual..23
    Change Occurs in a System..24
    Timing is Crucial to Change..25
    Change Involves Collaboration..26
    Monitoring Others During the Change Process..31
    Creating an Environment Conducive to Change..33
    Resistance to Change..38
    Providing Support Throughout the Change Process..39
    Research Studies Conducted at the University of Alberta..41
    Summary..43

3. Three Stories of Practice..44
  Susan's Story..44
  Kathy's Story..60
  Betty's Story..78
  Thematic Findings..94
    Relationships with Staff..94
    Understanding the Need for Change..97
    Working Through Others..99

4. Themes in Relation to Literature 103

Relationships with Staff Members 103
- Creating an Atmosphere That Favors Change 103
- Timing and the Change Process 108
- **Understanding the Need for Change** 110
- Attitudinal Changes 110
- Providing a Rationale for Change 113
- Change is Systemic 115

Working Through Others 116
- Vision 116
- The Change Process 118
- Staff Collaboration During the Change Process 123
- Monitoring the Change Process 125
- Resistance to Change 127
- Supporting Staff During the Change Process 129
- Conclusions 130

5. Summary, Recommendations and Reflections 132
- Purpose of the Study 132
- Research Methodology 132
- Summary of the Themes 133
- Personal Reflections 134
- Recommendations for Practicing Administrators 136
- Recommendations for Future Research 138

Appendix A

- Letter of Purpose 140
- Sample Interview Questions 141

Appendix B

- Research Consent Form 144

References 145

Chapter 1

INTRODUCTION AND STATEMENT OF THE PROBLEM

There has been extensive writing on the subject of the principalship. Because change is something principals face on a regular basis, the subject of change has also been extensively explored. Much of the writing on change describes the best way for principals to instigate change (e.g., Sergiovanni, 1991; Fullan, 1999). The research also describes the change process and recommends the steps a principal should take to successfully implement change (Fullan 1982, 1999). As change is personal and contextual, more information is needed on how change is implemented in everyday practice. Rather than providing a theoretical framework for change, my research provides a practical framework for change.

With site-based management, principals face increasing responsibilities and challenges. On a daily basis principals are responsible for supervising teachers, budgeting, managing the school's learning environment, communicating with parents, and creating a positive school culture. With all these tasks taken into account, change is an inevitable part of a principal's daily work. A school is constantly evolving to better suit the needs of the students and teachers. Change is necessary for improvements to occur. Often principals set personal visions or goals for their schools. Frequently change is implemented to reach these visions or goals.

Many principals instigate change on a daily basis, however some are more successful at it than others. I wanted to determine how principals instigate change. I also wanted to understand how they successfully manage the problems that arise during the process. By examining these problems I hoped to gain a better understanding of how change can be implemented successfully.

Purpose of the Study

The purpose of this study was to determine how practicing principals implement changes. I wanted to discover the actual processes principals engage in when implementing change. I also wanted to find out how they decide which changes they will implement, how they actually implement change and how they monitor the change process.

Research Questions

In my study I answered the following research questions:

1. What problems do principals encounter when instigating change?
2. What strategies do principals use to implement change?
3. How do principals create an environment that is conducive to change?
4. How do principals monitor change?
5. How does a principal involve other staff members in the change process?

Justification for the Study

Instigating change is part of a principal's daily routine. Throughout their careers principals continually make change so that the school will continually reflect the best quality of instruction possible for the students. These changes affect the entire school and may affect the climate of the school. Some principals make these changes effortlessly; others struggle with the issue of change. It is valuable for practicing principals to learn the process others follow when implementing change and how these changes affect the school. It is important to discover what other aspects must be considered to make the change process successful. Other administrators would also benefit from insight into the problems principals encounter when implementing change, how they solve these problems, and from examining approaches and philosophies on change that are different from their own. There has been extensive research conducted on the topic of change but few examples of how change is actually practiced. Change is contextual and personal. Further research is needed on how change is successfully instigated to meet the goals and vision of the school in everyday practice. Additional research is also needed on how the change process affects the staff and the principal of the school.

Methodology

I conducted a constructivist study because I accept that we have different understandings of situations and I wanted to hear the participants explore their different understandings regarding change. They were able to explain their own experiences through the way they approached my questions. I recognize that by asking these interview questions about change, I have influenced the participants. They were reflecting on or remembering situations that had already occurred. The participants had the opportunity to disclose as much or as little information as they chose on various change issues.

Research Design

As change is contextual, I wanted the participants to share their personal responses to the questions and reflect on the questions based on their own personal experiences and contexts. "The intent of interviewing is to capture the unseen that was, is, will be, or should be: how respondents think or feel about something; and how they explain or account for something" (Glesne and Peshkin, 1992, p.92). I wanted the participants to explain why and how they implemented change as well as recount past examples of the change process and their own opinions on change. Best and Kahn believe that interviews allow the researcher to "stimulate the subject's insight into his or her own experiences, thereby exploring significant areas not anticipated in the original plan of investigation" (1989, p. 201). For this reason, a sequence of semi-structured interviews was used. Semi-structured interviews allowed me to probe the principals for their opinions on change and gain an in-depth understanding of the principals' views (see Appendix A). I was able to clarify information and mold the interview dependant on the principal's opinions and areas of concern. The questions were formulated based on the problem statement. Semi-structured interviews allowed each interview to vary depending on the nature of the responses. I was able to guide each interview based on the participants' responses. Each interview became a conversation about various change issues with the respondents sharing personal experiences from the past. Additional, probing questions were asked to increase my understanding of the information given. The semi-structured format enabled the principals to express their views and experiences with change in detail. Certain questions and areas took up a great deal of time as the participant had many examples to discuss and share. The participants had either not experienced or did not consider certain questions to be central to the change process, so less time was spent on these questions. During the second interview, the interview format was changed to allow us to discuss in greater detail the topics that had emerged in the initial interview. The second interview was more conversational with each participant sharing incidents and relating their opinions on problems associated with the change process. I conducted the interviews with three principals to obtain various opinions on the topic. I used a qualitative perspective because it enabled me to ask the principals for further explanations and a more in-depth analysis on the topic. Using a qualitative research approach allowed me to understand the complex and contextual nature of change (Glesne and Peshkin, 1992).

Description of the Participants

I chose to interview three principals who were relatively new to the principalship. Each participant was in her second or third year as a principal. I wanted to interview principals who had little experience as a principal because as an aspiring principal, I wanted to discover how new principals implemented change. I also chose to interview only elementary or elementary/junior high principals because this is where my experience also lies. The schools were spread out over an urban area and varied in the communities they served. Two of the schools served a primarily middle class community and one served a community that was best classified as upper middle class. All three of the schools were facing a decline in student enrollment. The schools varied in size from a school of just over 200 students to a school with the population of over 400 students, hence the size of each school staff also varied. There was variation in the experience level of the teachers on each staff. One of the schools had mostly older teachers who had experienced few changes in the school in recent years. The other two schools had staff make-ups that included both experienced teachers and those relatively new to the teaching profession. Each school was at least twenty-five years old, yet was well maintained and a welcoming atmosphere was prevalent in the schools. The level of training of the participants also varied. Two principals had completed or were working towards graduate degrees. One principal had worked as a consultant and the other principals had been curriculum coordinators before obtaining their administrative positions. All had taught for a number of years prior to their administrative appointments.

Data Collection

Permission to conduct this study was obtained from the Ethics Review Committee of the Department of Educational Policy Studies of the University of Alberta and an urban school jurisdiction. To select participants I asked principals I knew personally and also colleagues to offer suggestions of possible participants. I narrowed my list of participants to three principals who were chosen based on their years of experience, their school grade level, and their ability to reflect and to express their views openly.

The three principals were originally contacted by phone to see if they were willing to participate in the study. The purpose and intent of the study was explained to each principal. A letter explaining the a) nature of the study, b) time expectations c) data collection techniques and d) follow up procedures was sent to those who agreed to participate in the study (see Appendix B). Each participant was asked to sign a consent form (see Appendix B). Participants were given the opportunity to opt out of the study at any time and all principals were informed of this option. After completing the interviews, participants were asked to review their transcripts to ascertain that the data accurately reflected their views. Any data the principals wanted to omit were deleted. Principals were also guaranteed that pseudonyms would be used and that any information that could inadvertently identify them would be excluded from the study.

Interviews were conducted at the principal's school or at the University of Alberta, during a convenient time for the principals. These forty-five minutes to one-hour interviews were tape recorded and later transcribed by myself. After the initial interview, the data were analysed and a second interview was conducted to clarify ideas, verify that the transcripts were accurate, and to delve deeper into topics that arose in the first interview. Following the second interviews the participants were also asked to verify the transcripts for accurate information.

Data Analysis

Each interview was transcribed and listened to or read repeatedly to gain a general idea of the content of each interview. I then coded the transcripts into various topics. Coding allowed me to organize "like–minded pieces into data clumps" to create an "organizational framework"(Glesne and Peshkin, 1992, p. 133). I organized these topics into a sequence and then wrote each principal's story. The purpose of these stories was to explain how the principals decided upon change and how they implemented change. I then examined the data for issues or concerns that were common to all the participants. These common issues became the initial themes. The themes showed the essence of the responses provided by each participant. Differences discussed by only one participant also became the subject of the themes section. The themes were revised and added to after reviewing the data.

Trustworthiness of the Data

Each principal was given a copy of her transcripts to verify that the information was correct. The participants checked the transcripts to ensure they accurately reflected their views on change. Glesne and Peshkin (1992) state that the participants should read over their transcripts to confirm the interpretation of what was said. They also checked their transcripts to identify ideas they wished to discuss in the second interview. In the follow up interview, participants discussed their transcripts and were asked to revise, delete, and add any information they wished. The second interview was also used to clarify content and meaning of data obtained in the initial interview. The second interview also gave the participants the opportunity to add further examples and ideas about the change process. I transcribed the interviews myself to ensure confidentiality.

"Time is a major factor in the acquisition of trustworthy data"(Glesne and Peshkin, 1992, p. 146). I took the time to build a relationship with each principal so they would be willing to talk to me. I wanted the participants to be comfortable enough with me so they could express their opinions frankly and honestly. I also spent some time in each school so I could get a sense of the atmosphere in each school. In one of the schools I had supervised student teachers so I was familiar with the school and the staff members. In another of the schools I had coffee with a colleague, thus spending time in the school and increasing my understanding in the school. In the third school I spent time before and after the interview discussing outside issues with the principal to further build on our relationship. I allowed the principals and myself time in between interviews to ponder questions, so hasty conclusions were not reached. I also gave myself time to reflect on the findings and themes to ascertain that these actually reflected the views of the principals.

Possible themes were discussed with my research advisor during the data analysis stage to limit researcher bias.

I tried to be aware of my own biases as much as possible. As stated in Glesne and Peshkin (1992) "Continual alertness to your own biases, your own subjectivity, also assists in producing more trustworthy interpretation" (p. 146). I was aware of the change issues that I had strong feelings on. The questions and issues that were important to me drove my interests and part of the questions I asked the participants. When responding to the participant I tried to be conscious of my biases so as not to sway their stories. I responded to each participant in a positive way much as I would during a regular conversation. I shared information with her and encouraged each participant to share more information with me.

Delimitations

Because of the in-depth nature of the questions, only a small number of principals were interviewed. Due to financial and time constraints, I chose to interview three principals who were in the same city. The participants were either elementary or elementary/junior high principals from urban schools. Also all principals were relatively new to the principalship with no more than three years experience as administrators.

Organization of Thesis

In Chapter one the problem, justification, and objectives for the thesis were introduced. The methodology, the data-collection techniques used and other research procedures are also explained. In Chapter two a review of the literature on the subject of change and the principalship is examined. Various models of change are explored in light of how these help schools change for the betterment of students. Chapter three contains three stories of practice as obtained from the interviews with the three principals. This also includes the themes that emerged from the interview data. In Chapter four, I provided an analysis of the data collected and a reflection on how these data relate to the literature. Recommendations for further research and for administrative practice are provided as well as my personal reflections on the study in Chapter five.

Chapter 2

LITERATURE REVIEW

Change has been referred to as a renewal or growth (Evans, 1996). As the educational leader of a school, the principal is the primary person who instigates change. The reason most of these changes occur is so that the goals and vision of the school can be met. In some schools the vision is arrived at in a joint process, in others the school vision is set primarily by the principal. Regardless of who determines the vision, it is the principal's responsibility to make sure that all steps are taken to ensure the vision becomes a reality. In the process of moving towards the vision many changes usually occur. The principal instigates most of these changes.

Much of the current literature shows how the principal instigates change by following a format (Fullan, 1999; Leithwood, 1992). The researchers have developed step-by-step formulas to follow which they define as the change processes. In most cases, step one must be in place for step two to occur and so on. These formulas are missing the contextual day-to-day events in the life of a school and make change seem to be a simple formula that can be easily followed. A practicing principal will tell you that change is difficult, contextual, and situational. As Fullan states in his latest research, "There will never be a definitive theory of change" (1999, p. 21). No change theory will apply to all people and situations. However it is beneficial for principals to gain insight and knowledge by studying various models of change (Fullan, 1999). Evans (1996) found that in the past most change models were rational and based on a specific structure. They followed the scientific, rational organizational theory of the past. These models missed the human side of change and the fact that organizations are complex. People do not always behave in rational ways. Human behavior must be considered when implementing any change.

There are two types of change first order and second order changes (Evans, 1996). First order changes involve improving what already occurs in the organization (Evans, 1996) or changing parts of the organization but not its basic structure (Blumberg and Greenfield, 1980). In second order changes the goals, structures, beliefs, and the way the organization is put together changes (Evans, 1996). Blumberg and Greenfield state that second order changes involve changing the frame of reference. In order to truly change the beliefs and values in a school, second order changes must occur.

Principals struggle with change because it is important that they help others accept the change and see the rationale behind it. Part of the research on the change processes explains the importance of getting others to believe in the change (Evans, 1996; Hord, 2000). The research explains change as a slow process in which the leader must take the time to allow others to see the benefits of the change (Fullan, 1999; Hord, 2000). Change has failed in the past because of insufficient training. Stakeholders must be involved in the change process and those who will implement the change need to receive training for the change to be successful. A successful change will lead to a school that clearly reflects its vision.

This chapter will examine first how the principal's and staff's visions and goals lead to changes in the school. In the next section detailed models of the change process proposed by Fullan, Sergiovanni, and Leithwood will be explained. The third section reports on certain change premises gathered from various research and literature on change. These premises are that change is personal and contextual, change occurs in a system, timing is crucial to change, and change involves collaboration. Understanding of these premises is central to facilitating the change process. Techniques for monitoring others during the change process, methods for creating an environment that is conducive to change, dealing with resistance to change, and providing support for teachers during the change process will be investigated in the fourth section. An overview of the research findings on change from the University of Alberta is examined in the final section.

Vision and Goals lead to School Change

Edward Chance defines vision as what schools work towards. The vision describes ideally what the school will look like in the future. It gives the school a direction to move towards (1992). Effective schools need principals who can make change occur and possess a clear vision (Richardson, Short, and Prickett, 1993) and (Starratt, 1996). If a school wants to grow and truly increase student learning then a vision needs to be in place. The vision is what directs staff to a common goal and sets the direction for the school. As Leithwood states it is the "basis for pro-activity, for determining priorities about how to spend time now, for setting goals and for other aspects of planning," (1992, p. 31). Starratt said the vision is "A supreme value or cluster of values that energizes the organization," (1996, p. 50). The vision becomes the "common ground." The vision unifies the school, guides the school, establishes climate and sets a clear purpose (Chance, 1992).

A difficulty that can be encountered when implementing change is getting others to believe in the vision or goals the leader has set. The leader "Articulates vision and sets a course that others end up following" (Cole, 1985, p. 12). Vann states that you need to have "Clearly and forcefully presented your views on where you want to lead your staff," (1994, p. 26) to accomplish change. If the staff does not fully support your vision, they will be reluctant to change or they may even resist the changes. In order to get staff to support the vision it is important to involve them in creating the vision. Starratt believes that once the principal conceives the initial vision, the entire school community should be involved in creating a vision (1996). People need to feel a part of or believe in a vision to accept it. Méndez-Morse (2000) advocates that the leader should start with his or her own vision and then communicate this vision to staff to create a shared vision. The shared vision will empower teachers and they will be motivated to try and reach the vision. Short and Greer (1997) feel a sense of mission is created when a shared vision is in place. They also feel it is the job of the principal to determine the values that are "embedded in a school's vision,"(p. 39) and encourage the staff to examine these values. The vision of the leader must reflect the values and beliefs of all stakeholders in the organization (Sergiovanni, 1991). If others have helped in developing the vision, the purpose is clear to them, and they are more likely to believe in and accept the vision. Once others believe the vision is worthwhile and that realistic goals will be achieved, they will support the changes needed to reach the vision. Evans (1996) feels that a shared vision provides a shared meaning for the school. Hord (2000) supports this position by stating that a shared vision provides a way of sharing accountability and makes staff in the school feel the vision is attainable. A shared vision also provides a rationale for change and sets priorities for the school.

When the plan to achieve the vision is in place it becomes apparent that changes are needed to achieve the vision. Changes must occur for a school to move forward in the direction of their vision. Fullan (1982) calls the first stage the "Initiation stage." In this stage a decision has been made to adopt change. It is recognized that change is needed to improve the school (Fullan, 1982). These changes that match the school vision and goals will be long lasting changes that will benefit the school and the students. Once a vision is in place then a plan is formulated on how to reach the vision. "Effective schools have principals who share a great vision for the school with the faculty and have a definite plan to reach that vision" (Richardson, Short, and Prickett, 1993, p. 12). The vision is shared by everyone in the school and becomes the reason for change (Méndez-Morse, 2000).

Models of Change

Various authors have proposed many models of change. This section will examine three current models of change: the Fullan model, the Sergiovanni model and the Leithwood model. Each model explains various methods and procedures that should be followed to successfully implement change.

The Fullan Model

In Fullan's earlier work he explained the change process as four stages. In stage number one "initiation" occurs. "Initiation" includes the decision to change and the previous events that lead up to the change. The change process begins at this stage. The second stage is the "implementation" stage whereby; the idea is put into practice. The change that was discussed and decided upon in the initiation stage becomes something the school does. "Continuation" is the third stage in which the change becomes "routinized" and built into the school or it disappears. The change needs to become part of the daily routine of the school or it will become lost. To prevent loss and make change a part of the school it should be part of new teacher training, budgeting, staffing, and planning (1985). The final stage is the "outcome" or result of the change (Fullan, 1982, pp. 39 - 40). In this stage the change is evaluated and the result of the change is determined. He does not believe that these stages are linear, but rather that events at one stage can affect events in the other stages. For example, animosity and resistance that occur in the beginning initiation stage where the change is decided upon can affect the result or outcome of the change. As well, there is no set formula on how long each stage will take. Some stages take longer than others. Even moderate changes can take up to five years to complete. Fullan concludes by stating, "change is a process, not an event" (1982, p.41). Each stage needs to be worked out in a timely fashion. Change will never be a single event that occurs over a short time period but rather a complicated process that takes many years to evolve.

Fullan has modified some of the ideas he presented in his earlier work. Fullan (1999) now feels that the change process is unpredictable and varies with each situation or context. Change can be facilitated by different kinds of knowledge. Fullan believes that if a leader takes the "tacit" knowledge, meaning the skills and beliefs an organization has, and transfers these to "explicit," or factual knowledge, and then the organization will become successful (1999). The knowledge conversion helps the organization because those ideas which were just beliefs actually become the facts of the organization. Also the skills and knowledge people had become an explicit part of the school.

Fullan describes eight lessons that guide the change process. Lesson one is that "moral purpose" (Fullan, 1999, p. 20) is complex and problematic. Moral purpose works together with the change strategies to create attachment. Once individuals in the organization believe in the moral purpose for the change, they accept change and wish to implement it. Lesson two describes the need to examine theories of education and theories of change together. "There will never be a definitive theory of change" (p. 21). Theories of education will assist in understanding change and the unique contextual orientation of change. As there is no one definite model of change principals should be familiar with different models of change and theories of education to become successful change agents. The third lesson states that conflict and diversity are an integral part of change. Conflicts tell us the parts of the theory that may need to be reworked. Since conflict cannot be avoided, it should be accepted and dealt with during the change process. If conflict is avoided it will lead to problems in the future. Lesson four explains the concept of "operating on the edge of chaos" (p. 24). During change there will always be some uncertainty and the people in the school need to accept this chaos and work through it. There is still structure to the organization even though there is some uncertainty and chaos. Emotional intelligence causes anxiety is the premise of Lesson five. " Change means facing the unknown. Facing the unknown means anxiety" (p. 26). Emotionally whenever a person is asked to do something new or deal with something unknown to them, anxiety is created. The principal must anticipate anxiety, deal with anxiety and also teach his or her staff to accept the anxiety they are facing. Lesson six describes collaborative cultures as anxiety provoking. Collaboration will lead to some differences and anxiety, but these differences allow the organization to solve complex problems. Collaborative cultures also offer support for those in the organization. Lesson seven is "Attack incoherence," (p. 27). The leader tries to make the change fit in with previous programs and makes connections for greater coherence. The transferring of beliefs into facts (tactic knowledge to explicit knowledge) creates meaning for the group. Staff members need to see meaning in the change and also how it connects to the past. Lesson 8 contains the central thesis Fullan makes. There is not one single solution to change. Change cannot be put into one model. When considering change the principal needs to consider his or her own situation, problems, and past. Fullan also believes that all eight lessons are needed together and that change will fail if the change strategies are too simplistic.

Often because an innovation is working so well in one organization, another organization may try to replicate the innovation. It is difficult to transfer innovations or change onto others, according to Fullan (1999). First change involves many subtleties that others will not notice. All the parts that made the change difficult may not be visible. Also each organization has its own values that are practiced daily. These values affect the success of the change process. However, ideas that are added very easily are also discarded easily. Ideas do well because of the conditions in which they occur. Secondly what works in one setting, may not work in another setting. Because no two organizations are the same, change will also be different in each organization. For example, if two schools decided to implement the same program change, the change would be different in each school because of the values, beliefs and people in each school. Fullan's third reason as to why innovations are hard to copy is that reform needs the ability to " manage multiple innovations simultaneously" (p. 65). Change is a complicated process that involves many events that change at the same time; these events cannot be replicated from one setting to another.

Fullan concludes with explaining how to plan for change. During the change process, there will be a stage where the organization is "living between too much and too little structure"(p. 79). The leader should try and understand this chaos and use it to his or her advantage. This time can be used for public self-reflection and to think about the outcomes wanted from the change. Public self-reflection is needed to think about the change, and to evaluate its success. Planning should be based on deep thought and insights. The ideas must be based on concepts that the group agrees upon and everyone must be informed of the plan of action. Fullan theorizes that planning is "working on an underlying conception of change in which techniques and tools are resources in the service of bigger goals" (1999, p. 80). During the planning stage the principal has a basic goal or vision in mind. He or she decides which techniques are necessary in the change process to reach the goals of the school. In essence the leader formulates how the change will work to achieve the desired goals.

The Sergiovanni Model

Sergiovanni feels that change must be sustained change. In order for a change to become effective it must be sustained or "institutionalized" which is the "process of making a change routine" (1991, p. 256). If a change is not institutionalized it will not become part of the culture of the organization and it will eventually become lost. Changes that do not last will not lead to permanent school improvements. He explains the process of adoption, implementation and institutionalization. He says that once an idea is adopted it is implemented into the school but it does not become a permanent part of the organization until it is institutionalized. The change needs to be sustained and needs to become part of the daily culture or routine of the school to be institutionalized.

There are different approaches to change, but in Sergiovanni's theory, all of the approaches are necessary for the change to become successful. He feels the approaches of political and social context, the school climate, the school culture, the individual needs, and the work context all must be in a position that favors change. Sergiovanni's theory also examines the school as a system. In that system, the individual, the school, the political context and the workflow are taken into account. The teacher as an individual cannot be ignored in the change process. Their attitudes and beliefs must be considered to result in a change in teacher behavior. Each individual's values, beliefs, and readiness must be taken into account. "Change is often frightening. So much is at stake as present circumstances, norms and ways of operation are threatened" (Sergiovanni, 1991, p. 257). The individual is most concerned with how the change will affect them personally. Then, they are concerned with the management or technical problems the change will bring about. Thirdly, the individual considers how the change will impact their students. Finally, how the change will be adapted, is contemplated. The individual may react with resistance when they feel their work needs are threatened. To avoid resistance, teachers need clear expectations, certainty about the future, social interaction, and control over their work environment (Sergiovanni, 1991). Therefore, the change must involve the individual teachers and give the teachers some control over events.

The second part of the system is the school itself. Those schools with open climates are better at initiating change and also better at accepting change. An open climate means the school staff is ready to accept new ideas and try innovations that are new to them. As the change matches the school's value system it also becomes accepted more easily. People are willing to change, when they know the change coincides with their ideals and beliefs. Change is less frequently rejected when people know their values and beliefs will be left intact.

The workflow in the system is the third consideration Sergiovanni raises (1991). Others need to know what the change will achieve, and how the change will be implemented. To believe in the change in regard to workflow, there must be set goals and targets. Teachers should also know what the difference to their workload would be once the change is in place. In terms of workload, supervision and staff development must be in place. Teachers need to understand the protocols that will be in place. They also need to see the changes in the workflow that will occur in terms of curriculum and teaching requirements (Sergiovanni, 1991).

Considering the political part of the system means implementing changes in school budgets, policies, regulation, structure, and administration. Many of these duties are not in the hands of the principals, but rather in the control of others. The principal therefore, needs the support of the school division or central office, the school council, the school board, and the teacher's union to implement change. Others not on the school staff must believe in the change in order for the change to become institutionalized (1991).

Sergiovanni has proposed the idea of purposing in his change theories. Purposing is the setting of clear expectations and directions about where the school is headed. Each school has its own identity and the staff understand the values and norms of the school. The routines in the school have significance because the values and beliefs behind them are understood (1990). All the people in the school understand a clear purpose because the purpose is backed up by values and beliefs. In the case of change the purpose may change but the underlying values and beliefs remain intact.

The Leithwood Model

Leithwood, Begley, and Cousins (1992) explain the change process in terms of how leaders make decisions. They say the guiding principle behind decision-making is the school's vision or goals. The vision clearly shows the difference between what actually exists in the school and what ought to exist. It tells the principal what parts of the school need attention. They claim that effective principals need to become expert problem solvers. Leithwood, Begley and Cousins (1992) say to become an expert problem solver, principals must reflect about what they do. Principals need the time and opportunity to think about what they are doing in a critical manner. They also require information about the problem and they need goals for problem solving. The key is understanding what is needed to solve the problem. Expert principals have a plan in place to solve problems that reoccur; therefore they do not need to spend their time resolving these types of problems.

Leithwood, Begley, and Cousins describe the components of problem solving, which can be interpreted as the steps of the change process. These include the "goals," which guide a leader's decisions and actions. Goals are the visions or directions the leader sees for the school. Expert principal used "Goals to provide the best education and best experiences for students served by the school"(1992, p.59). "Factors" are the aspects of the school that contribute to the goals. The leader determines what factors should be in place to obtain their goals and improve students' learning. These include objectives, teaching strategies, assessment techniques, instructional time, and resources. The "strategies," are the actions or procedures that are followed to direct the factors. Leaders use "general purpose" and "factor specific strategies" (p.64) to reach their goals. Examples are involving others in decisions, in school communication, teacher preparation time, staff supervision, and program implementation. Finally, the last component is "decision-making," (p. 57) which is the component whereby the leader chooses from various goals, factors, and strategies. Staff participation is usually part of the decision-making. Expert principals have procedures in place they follow during decision-making to remain consistent (1992).

Leithwood, Begley, and Cousins' (1992) study has concluded that in the beginning of a principal's career, they make changes in order to make things "run smoothly" (p. 57). As they grow, they begin to implement changes when it is obvious change is needed (1992). Principals use their goals to help them plan a course of action. Once a principal has more experience their goals and the decisions they make are more in sync. Experienced principals are also more likely to use the help of others, such as parents and teachers to guide decisions. Principals rely more on factors that affect student learning when they have more experience. They decide what "characteristics of the factors need to be in place in order to help achieve their goal(s), and work towards producing those characteristics" (1992, p. 62). They establish what parts of student learning will help achieve the goals for the school. Experienced principals hold a greater understanding of the characteristics that need to be in place to help achieve their goals.

Leithwood, Begley, and Cousins suggest strategies the principal can follow to help keep people involved and more willing to change. These include building relationships with staff to motivate them, making sure staff have the needed knowledge and skills, having effective in-school communication, and having good communication between the school and the community. They also explain that resources, such as preparation time and routine procedures are needed to help teachers be more willing to change. The following "factor"-specific components should be used by the principal: monitor program, set goals and plans, implementation of the program, supervise staff, have support resources, and the relationship with students (1992).

In terms of decision-making, Leithwood, Begley, and Cousins believe that some decisions will be made unilaterally and some will involve staff participation. They say it is important to look at the staff preference and read how they will regard the decision. Decision-making can be used to get more participation and to develop the conditions needed for participation. They (1992) noted that expert principals used different procedures so there was always some staff input and different points of view were heard on decisions. They had various procedures in place to gain information from staff regarding decisions. Teachers should be a part of the school improvement plan and should have a say in decisions that affect their students. Teachers should also be encouraged to help one another with instruction (1992).

Change Premises

Each model tells us that change is situational and that it depends on the context. However, to help facilitate the change process the change agent can follow certain premises. These premises will be discussed in the next section.

Change is Personal and Contextual

Change is done by people; people must change in order for any organization to change (Hord, 2000). Because people are complex and often irrational, change is also complex (Evans, 1996). Teaching is a multifaceted career that cannot be generalized. In a classroom many things happen at once and unpredictable events occur. Because of this it is often difficult to predict how teachers will react to change. Fullan believes the goals for change should be personalized (1982). Each individual in the school has his or her own reality, with each person contributing to the group reality (Fullan, 1982). Hord believes change is personal and everyone views change differently and changes differently (2000). Change has many dimensions and as change involves a person's skills their sense of competence may be threatened (Fullan, 1982). Change involves altering one's feelings and skills (Hord, 2000). Individuals must interpret the change by themselves and create their own meaning in the change. A person's history and background affect the meaning they give to the change and how they implement it (Fullan, 1982). " Change is a highly personal experience,"(Hord, Rutherford, Hulig-Austin, and Hall, 1987). Each person reacts and behaves differently to change. Teachers react to change "in terms of what it will mean to them or how it will affect their current classroom practice (Hord et al, 1987). During the implementation stage of change the principal needs to work with and assist each individual teacher because each of them may implement change in a different way (Hord et al., 1987). The leader of a school needs to consider what each change will mean to those who actually implement it, as change means something different to each person (Evans, 1996). He feels change involves a move "From loss to commitment" (Evans, 1996, p. 58). People accept change as they build their own meaning in it. To create meaning out of change, each individual must see how the change relates to what they did before. As a person goes through the change process, the skills they had before become invalid. They must learn new skills via training that is personal and fits their own individual needs. Accepting change is complicated because it involves asking each person to change his or her values and philosophy of teaching (Evans, 1996). Fullan describes change and learning new skills as follows: "Learning to be proficient at something new involves initial anxiety, a variety of assistance, small experiences of success, incremental skill development and eventually conceptual clarity and ownership" (1985, p.409). Clearly learning new skills requires time and will be a different process for each individual. Fullan eighth lesson reminds the reader that change is personal. Each change agent must consider his or her own circumstance, staff, problems, and situation (1999).

Change Occurs in a System

Researchers have formulated that once a change occurs, the organization is never the same (Sullivan, 1999) and (Short and Greer, 1997). It is impossible to anticipate how change will affect each part and keep these parts the same. This is because change affects all parts of the system. All aspects of the school are considered because change areas are interconnected, thus change in one area affects another area of the school (Fullan, 1999).

> Theories can guide thinking and action and attempt, as I attempt to do in this book, but the reality of complexity tells us that each situation will have degrees

> of uniqueness in its history and makeup which will cause unpredictable differences to emerge" (Fullan, 1999, p. 21).

Each situation is unique and the change process will depend on certain variables particular to that school. Evans theorized that change must be examined as a "Systemic Paradigm," (1996, p. 10) where if one part of the system changes, the rest of the organization also changes. He feels change can be confusing because there are, "No improvements that only affect an isolated problem without producing any side affects elsewhere" (p. 66). Hord also concurs with Evans and Fullan. She says change is "systemic" and the "school, as a whole will be affected by whatever is done with respect to even its smallest part," and "interventions in one area may well produce unexpected results in another" (1987, p. 7). Improvements or changes that occur in any one part of the school will affect the entire school.

Timing is Crucial to Change

Fullan wrote, "Change is a process not an event" (1982, p. 41). Hord and her colleagues echoed the exact same thought (1987, p. 5). Because change is a process, time is needed to implement change. Each person creates their own meaning in the change process; therefore time is required to allow people to adapt and accept change and to create their own meaning (Evans, 1996). Evans explains this notion further by explaining that people need time for the following aspects of change "loss, incompetence, confusion, and conflict" (p.291). People also need time to deal with the stress change will bring. If a change is implemented too quickly people will not have the time to adjust and the change will be unsuccessful. Quick changes can overwhelm people and make them more resistant. On the other hand, changes that occur too slowly can make an organization stagnate. Evans' (1996) final advice on timing is that change should be gradual and incremental. It should involve changing the organization in small step-by-step parts. Fullan believes that change occurs as a progress of events in an organization.

One cannot predict how long change will take in each of the parts of a school. Some parts will take longer to change than others. The time frame for moderate school changes can be very long, up to three to five years, for change to be successful (1982).

Seyfarth (1999) discussed another issue of timing. He suggests that there are certain times when others in the school will be more receptive to change. These include opening a new school, when the school, has received a positive report from the district or an outside source, during staff turnover periods, or after the school has completed a self-evaluation. Another good time for a principal to exercise change is when they arrive at a new school. During this time the staff usually believe in the new principal and they are willing to work with the principal to improve the school. It is important to try and initiate change soon after this transition period because the principal has support. After some time the staff may realize the new principal will not solve all the school's problems and in turn may be less supportive of change efforts.

Change Involves Collaboration

Fullan explains the importance of collaboration in change. He believes that teachers need to have a clear purpose and they should use collaborative means to set this purpose. Teachers need to work together in setting goals for student learning. Collaboration should be a school wide program in which teachers work together. While working together, teachers can change what occurs in the classroom and also become a supportive network (1999). Stopsky and Shockley's (1994) research on change states that effective change often involves other staff members in real roles. These roles are not just token roles used to appease staff but are rather actual commitments the staff undertakes to facilitate change. They feel support from others in the organization is needed, as change should be a joint process, not dictated from the top of the organization.

Fullan advocates for the use of collaboration in order to be successful. He feels the teachers need to use collaborative activities to get things accomplished. There is a school wide community that affects the classroom and the level of support in the school (1999). The use of collaboration helps build a strong community in the school. Fullan's earlier research (1985) suggests that complex changes require shared control, if they are to succeed.

The principal must delegate authority and empower teachers (Fullan, 1999) Teachers need support to become empowered. They also need to be able to make or influence decisions and have resources available to make decisions. Once the principal has delegated change duties to others; he needs to set parameters, stay involved, review progress, and meet with the teacher teams as required. Fullan feels the vision can guide the school and "gives a context for empowerment," (1988, p. 32). The common vision lets teachers become empowered to make changes to reach the vision. Short and Greer (1996) support the notion of empowering teachers. They feel empowerment gives teachers more status, knowledge, and autonomy. With the support of their principal, teachers can make decisions that affect their work. Teaching can be an isolated occupation so teachers need the opportunity to control part of their own destiny. "A positive work environment, brought about by school participants who are able to initiate and carry out new ideas, results in enhanced learning opportunities for students,"(p. 129). Teachers who know their students best need to have a say in the changes in order to better the education of all students.

Stopsky and Shockley (1994) also suggest using planning teams consisting of people with different backgrounds and experiences. The teams need checkpoints where they can stop and reflect on the changes that have occurred up thus far. After the change has been implemented, the results must be reviewed. The parts that have failed may be modified and incorporated into future changes. Méndez-Morse (2000) says collaboration is needed and that collaboration should involve teachers as they know the school and have a personal interest in any changes that occur in the school. She believes in recognizing the skills of others in the school. The leader should value their expertise and their professional qualities. Valuing the efforts of others supports collaboration. Teachers can also feel valued by a principal who supports their methods, provides resources, gives non-evaluative feedback, and protects their teaching time. The leader can also promote teamwork by supporting teams and offering them resources. Leithwood and Montgomery (1992) advocate involving staff members and also getting to know their preferences for decision-making. Some teachers will want more say in the decision making process than others. It is important to recognize these differences. Committees should be used in the decision making process. All staff members should have a shared purpose in decision-making and also demonstrate respect and commitment. The principal should also have realistic expectations for his or her staff members.

Sergiovanni (1991) believes the best change facilitator style is the initiator. The initiator sets clear goals, has a strong vision, and high expectations. These in turn are passed on to the school staff. The initiator also will ask others for their input and then make decisions based on this data. Sergiovanni (1991) insists that since change involves teachers, they need to be included in the change process. During change the control of teachers should be increased not decreased. The principal should ask others for their input and then make changes that reflect the thinking of others. If change is to affect everyone in a school, then those affected need to be involved in the change process. Change that will be successful and part of the school routine must reflect the values of everyone in the organization.

Evans thinks that during the collaboration process roles need to be clarified. People need to understand who has the ultimate say and power in decision-making. The leader should let people know "which decisions are the leader's and which are matters for collective input, true consensus and so on" (1996, p. 67). Also as the roles are often altered during the change process and during collaboration, people need to have their roles clarified. They need to know what is expected of them in their new roles and how power will be set up and divided. All roles and responsibilities should be clarified for all members of the organization (Evans, 1996).

The most elaborate form of collaboration would be a professional learning community, which is advocated, in much of the latest research on change. A professional learning community is a "setting where teachers and principals collaborate to continuously increase their effectiveness through their own ongoing learning" (Fleming, 2000, p1.) Both principals and teachers are active learners who gather information and make decisions (Fleming, 2000). In a professional learning community the shared goal that guides decisions is to enhance student learning. The leaders in these schools are supportive and create a collaborative atmosphere for shared decision-making. Rather than an organizational hierarchy, all staff members in the school are on the same team whereby they all learn and work together (Hord, 2000).

Evans uses the term "Collectively Governed Schools"(1996, p. 232) to explain the same concept. In these schools teachers have a greater say in change and this leads to more time invested and a greater commitment. In these schools students usually have a greater say and become active learners. Teachers are also active learners and they help each other improve their practice by providing feedback. Evans has explained why some teachers resist empowerment initially because it has been promised to them in the past yet never materialized. They also fear that their ideas will not really be listened to and implemented by principals. Teachers may also resist collaborative efforts because they see working with adults as extra work from their chosen work with children (1996).

Sergiovanni believes in creating a "covenantal community" (1992, p. 102) of learners. All the people in the school are committed to the same values and beliefs and vision for the school. These schools have reached a consensus and have a shared value system they use to make decisions. "A binding and solemn agreement must emerge, one that represents a value system for living together and forms the basis of decisions and actions (1992, p. 73). In these schools teachers share values and are bonded together. During changes the leader and the teachers understand each other and their intentions. The leader helps the teachers solve problems with the intent that eventually they will be able to solve problems on their own. All changes are done with the school's purpose in mind. "The heart of the school as moral community is its covenant of shared values. This covenant provides a basis for determining its morality (Sergiovanni, 1992, p. 108).

Further Techniques

In this final section, I review techniques for monitoring others during the change process, creating an atmosphere conducive to change, overcoming resistance to change, and gaining support for change.

Monitoring Others During the Change Process

During the change process it is important to monitor others and evaluate the progress of the changes. Hord's (2000) research shows that principals can monitor staff progress during the change process by using various methods. They can use formal or informal evaluation techniques such as visiting classrooms, talking to teachers, and providing teachers with feedback to improve their teaching. Surveys, observations, interactions, and consultations may be used as well. Leithwood and Montgomery (1986) use the following questions to check staff reaction to decision-making: Are they satisfied? Is the change affecting school goals? Does the change plan need to be monitored? Kimbrough and Burkett (1990) have developed an elaborate system for evaluating the results of change. For each objective the change was designed to meet, a measurement instrument is used to collect data to determine if the objectives are met on time and are met by the person who was assigned to them. The following chart can be used to record data as the results of change are evaluated (1990. p. 150).

Evaluation Design Summary Chart

Objective	Measurement Instrument			Data Collection Procedures		
	Name/Type of Instrument	Date Instrument Completed	Baseline Data	Target Group	Scheduled Date(s)	Person Responsible

By completing the chart the principal can determine "whether the objectives were accomplished according to the criteria established for them, whether they were accomplished on time, and whether the responsible persons did their jobs (Kimbrough and Burkett, 1990, p.150). Evans (1996) checks the progress of change using the following strategies: holding checkup meetings to check the progress of committees, allowing people to freely voice opinions, looking at the positives, dealing with opposition to change, and making people feel their concerns have been heard. Fullan (1985) explained three considerations the principal needs to consider while monitoring the change process: the type of information collected including the state of implementation in classrooms and factors that affect implementation, and the outcomes that were expected. Whether the data are collected formally or informally is also examined. Finally the use of information gathered should be considered. The information collected during monitoring should be used to improve instruction. Using these considerations ensures principals take into account various classroom aspects while collecting information on the change process. Hord and her colleagues (1987) expresses the importance of making sure teachers understand that the principal is only evaluating the change process and is not using the evaluation to assess classroom teaching. Teachers should understand that the purpose of monitoring is to ascertain which areas of the changes they need assistance with not to evaluate their teaching performance. Regardless of which method is used, principals need to monitor the change process to see how the change is progressing and to find out which areas the staff needs assistance with.

Creating an Environment Conducive to Change

Schools have a unique culture that is made up of the values and norms of the school. The leaders and the way they shape and maintain the climate create a nurturing culture. Culture can provide security to the staff. Changes that match the school culture will be more accepted. The leader must be aware of the culture they have created and make sure that change reflects the culture (Short and Greer, 1997). Change must fit in with the culture of the school so the staff feel a sense of security. If change is "perceived as a threat to one or more of the underlying assumptions of the culture,"(1997, p.27) the change could be disastrous. One must make sure the change will fit into the existing school culture. Sergiovanni (1991) is also in favor of creating a climate that accepts school change. He feels such a climate is created when the school culture recognizes individual needs and concerns for change, and when the changes reflect the culture of the school. The leader must look at the individuals concerned with the change and the individuals' thinking regarding how the change will affect them personally. People should be reassured on how the change will affect them and their work and also what the change is hoping to achieve.

The change research states many different ways that principals can create an environment in which change is more likely to occur. Many of these things should occur on a daily basis. Kita (1994) lists some of these techniques: visiting classrooms regularly, making staff meetings valuable, allowing staff to contribute to staff meeting agenda items, having a sense of humor, being aware of what staff think of your performance, and informing staff of educational readings that may contribute to their professional growth. Hord (2000) also believes in visiting classrooms regularly. Guffey, Rampp, and Masters (1999) say that shared governance can be created by having a clear definition, realistic expectations, good communication, trust, consistent participation, and a time commitment. An environment in which staff are willing to collaborate and work on change can be created by a variety of methods. Leithwood also theorizes about how to develop an atmosphere for shared governance. He stated that a "Staff willingness, and a climate in which the motives of those participating in decisions were widely trusted," (1992, p.68) would develop more staff participation. Leithwood and Montgomery (1986) suggest these techniques to create an atmosphere in which people are willing to change: Set realistic expectations, be positive and have confidence that problems can be solved, have a sense of humor, have an open door policy where the staff feel free to talk to you, be honest, and treating problems specifically not the person.

By respecting staff as professionals and allowing them to contribute wherever possible the environment allows for change to occur with greater acceptance. It is important to praise and recognize teachers for their efforts (Leithwood and Montgomery, 1986). Teachers are professionals with expertise and skills in their profession. The leader of the school should treat them as such and recognize their expertise and knowledge during the decision making process (Méndez-Morse, 2000). "Recognition refers to praise or positive feedback, but also to validation, to acknowledging and affirming a truth about a person or a situation" (Evans, 1996, p.254). Evans lists the benefits of recognition as increasing: self-esteem, trust, morale, and communication. Recognition is required during the change process where people are asked to learn new skills and are questioning their own performance and abilities. In schools students are traditionally acknowledged; it is important to acknowledge teachers as well. Just as one is specific when praising students, praise for adults should be specific and show exactly what efforts are being praised. Recognition and respect need not come just from the principal in a school. Teachers should be encouraged to respect each other and encouraged to praise and recognize the efforts of their colleagues (Evans, 1996).

A trusting atmosphere is an essential part of a culture that supports change. Short and Greer (1997) believe trust is created when the principal will work with everyone else and not ask others to do things, they themselves would not do. In order to be trusted, one must first trust others. The principal should model trust for others. Trust is also built by being a strong leader who understands the school's vision and goals and sets clear objectives for achieving these. Finally, a trusting principal must trust the abilities of the teachers on staff. Once trust is established, the principal can empower teachers and allow them to carry out parts of the change process. A principal should also respect his or her teachers as professionals and therefore trust them to make decisions based on the positions of trust they hold. When decisions are made even though they are not the preference of the leader trust is developed (Fleming, 2000). The leader shows they trust the staff by letting the group make decisions and carrying out decisions the leader may not have voted on. Followers trust leaders who establish clear expectations and also clear roles and responsibilities for everyone (Evans, 1996). Support and trust from the parents and community is also important. They should trust the principal and the school to make the best decisions for their children (Evans 1996). When others outside the school trust what occurs there it becomes evident and the climate of the school is improved.

Principals should act as role models for the staff especially during the change process. As role models principals do the same things they expect their staff to do. They participate along side of their staff in duties such as supervision (Leithwood and

Montgomery, 1986). In some situations such as professional learning communities the principal participates in professional development activities to improve his or her own practice and to learn about new educational programs. Principals are active learners who recognize ongoing learning is necessary to learn about new educational theories and advances. Administrators are on the same team as teachers and contribute to the team (Hord, 1997). There is no hierarchal order in the school but rather a team of equals that all work together.

Communication is essential in creating an environment that is conducive to change. A principal should have good interpersonal skills. They should be personable and friendly and willing to listen to others including parents and students. Communication is necessary to express the vision the leader believes in (Méndez-Morse, 2000). Effective leaders must be able to clearly articulate the vision and values they espouse. The leaders communicate their vision often and will use opportunities as they arise to state their values and beliefs to others. Administrators communicate with their staff more informally than formally. They are available to listen to teachers and they regularly visit teachers to ask for their input (Evans, 1996). Communication is used to relate to staff and to develop collegial relationships (Fleming, 2000). Fullan (1985) stresses that leaders need to communicate often with a variety of people in different size groups. This communication should be informal and focus on problem solving when the opportunity arises. Hord (2000) thinks that communication can be used to notify other stakeholders about upcoming and ongoing changes. Public relations are important as a tool for gaining support for changes. Others can be notified of the change via newsletters, brochures, demonstrations, training, and discussions. By describing the change and the impact it will have, stakeholder support can be gained. The researchers agree that effective principals are effective communicators. By communicating informally the principal can find out more about each staff member and develop a friendly rapport with his or her staff.

A proactive leader also creates an environment that leads to change. Such a leader recognizes where changes are needed and is willing to try new innovations. They move beyond the status quo and challenge ideals that do not fit student or staff needs. Others feel risk taking is safe and they are encouraged to experiment and look at other options. These risks are carefully planned and thought out. "Leaders who changed their organizations were proactive and took risks" (Méndez-Morse, 2000, p.19). Principals can also be proactive by predicting how others will respond to change. One should sense the concerns that the teachers will have and also predict how each teacher will implement the change (Hord et al, 1987). Information about teacher responses can be used throughout the change process. Hord et al. (1987) suggest that principals "develop long-range strategies that will provide a framework for your actions as facilitator and to identify a few key incidents to put your strategy into operation" (p. 81).

When creating an attitude that is conducive to change, the principal should express the notion that schools are for student learners. The principal need to espouse to staff that their central purpose is to "meet instructional needs of all students" (Méndez-Morse, 2000, p.13). The people in the school need to believe that children come first. When the belief is that students come first, the rationale for change is provided and the change will be easier to implement (Méndez-Morse, 2000). Hord (2000) also feels that in a school where changes occur, student learning is valued and it becomes the reason for initiating change. To develop collaboration and a willingness to change Fleming (2000) believes that a common vision that centers on the value of student learning and success should be shared. When examining new issues the leader should ask "Is it good for students?" Thus changes will be implemented because they are seen to improve student learning.

Resistance to Change

Change is not an easy process. In a study conducted of educators by Short and Greer, they found that "Change was seen as painful and stress producing to those involved" (1997, p. 24). Similarly Sergiovanni (1991) has noted that, "Change is often frightening. So much is at stake as present circumstances, norms and ways of operation are threatened" (p. 257). Even though we know change is inevitable "our response to change: we both embrace and resist it" (Evans, 1996, p. 21). Because change can be stress producing and fear provoking, many people resist change. Sergiovanni (1991) argued that people are concerned with how the change will affect themselves and their relationships and also their workload. In order to lessen these concerns and therefore lessen resistance, teachers need clear expectations, future certainty, social interaction and control over their work environment. Teachers should be involved in the change process and understand what the change will accomplish and what will be different in the school. Evans (1996) has theorized that staff support is needed for change. If the staff do not support the change they will mold the innovation to match what they did in the past. Change must be personally meaningful to those who will implement it. People resist change because it may create a sense of loss and also conflict and confusion. The people in the organization are asked to give up continuity and predictable patterns during change. "Assumptions we live by and take for granted are devalued" (Evans, 1996, p. 28). Change means giving up something that is comfortable and familiar. To accept change teachers need to see how it relates to their past so their identity is not lost (Ruddock, 1991).

The best way to deal with resistors according to Evans (1996) is to face them and remember that conflict can lead to change. If the principal avoids resistors, it may show that the principal is not totally in support of the change or that the leader is not strong enough to deal with resistance. If in an effort to avoid the resistors, the principal offers compromises, it leads the school further away from the goals of the change. The leader should remain firm in their beliefs and not give in to others and go against their own goals and beliefs. The principal must remember that resistors may be useful especially during the implementation of change. Their resistance may show areas that are flawed and need to be revised. Resistors may have valid concerns and show the leader the aspects of the change that need to be clarified for others (Evans, 1996). Rossman, Corbett, and Firestone's findings (1988) support Evan's research. The too feel that resistors may resist change because the change was not well though out or because the change did not address the needs of the school. The change may have failed to solve problems, may have involved too much extra work for teachers or it may have needed special skills and training that the teachers did not receive. Fullan (1999) believes that resistors and conflicts are needed. Resistors indicate that parts of the change may need to be thought out more clearly or suggest problems that may occur with the change.

Providing Support Throughout the Change Process

During the change process teachers need extra support. They need to have clear expectations on what the change will involve and what it will mean to themselves as individuals. Support is most important during the implementation phase. During this time teachers are learning new skills they will need to make the change effective. Professional development is needed to learn new skill. Professional development will involve watching others try techniques and eventually practicing the new skills (Hord, 2000). In earlier research Hord et al. (1987) state that change may fail if the needed new skills have not been mastered. The principal's job is to help teachers throughout the implementation in a personal way that meets each individual's needs.

> Describing a program in terms of its ultimate goals also offers little help with the task of implementation... While teachers need to be aware of the purpose of what they are doing, goals alone cannot tell them how to implement the program in the classroom (Hord et al, 1987, p. 13).

In order to implement any new program teachers need training in the skills necessary to carry out the change. Evans (1996) offers the following concept on training. With any change teachers will need to develop new competences. Some skills will no longer be valid. To learn new skills teachers require relevant training that shows the teacher the larger goals for the school and also the smaller goals that are going to be made to accomplish the greater goal. Any training should be relevant to the teachers and fit their knowledge and needs. Training cannot stop once the change process has begun; it should be carried out throughout the entire implementation stage. Because the change process can be complicated and may involve asking teachers to change their beliefs, teachers may need time to discuss, reflect and work through the changes. Change will not be successful unless those implementing it, the teachers, receive training in any new skills they will need to carry out the change. To ensure that teachers do receive the training and support they require Fullan suggests the need to "Allocate resources (money and time" (1985, p. 415). If support is placed in the school budget, it guarantees that teachers receive the training, release time, planning time, and resources they need to carry out the change. By actually setting aside money in the school budget the resources needed to make the change successful are allocated.

Research Studies Conducted at the University of Alberta

Upon review of the recent studies conducted on the topic of change at the University of Alberta, it appears that both general and specific studies on change have been conducted. Some of the studies have followed one specific change or decision-making model such as Hegel's study (1997) in which she examines how one small select group goes through the decision-making process to write a handbook. She looked at the processes this group used to make decisions such as group consensus and compromise the strategies the group used such as procrastination and small group discussions used by the group to make decisions.

Pepler (1992) examined the reasons and experiences of principals as they adopted one specific change. In this case she looked at the move to multi-aged grouping. Changes such as multi-aged grouping often were difficult because they lead to major structural changes and to changes in the school's culture.

Spilchuk (2000) in her doctoral dissertation examined stories of practice and conducted narrative research to understand how principals faced situations that forced them to be resistant. These stories offer a personal history and provide a broad sense of how these principals felt during and after the change process.

Pollard (1994) and Farrell (1994) both studied the principal's role in shaping a school's culture. In both cases they are examining change in a broad sense rather than specific situations in which change occurred.

Pruden (1998) looked at the principal's role in the decision-making process in a general sense. He studied three strategies principals used to make decisions: shared, delegated, or principal made decisions. The themes of context, type of decision, decisions based on past experience, and leadership style were used by principals to decide which of the three strategies they would employ during the decision-making process.

Linden, Osland, Wilkie, and Wolanski (2000) created a handbook in their project to guide principals through the change process. While they state, "There will never be a definitive model of change"(p.5), they look at change and professional learning communities in very general terms and offer specific suggestions on how principals can make changes in their own schools and how principals can create professional learning communities.

Other studies such as the one completed by Rowley (1988) and Millard (1998) focus on the general perceptions of leaders and principals on their role in educational change. Millard interviewed many leaders who's leadership role was larger than just one school and found that leaders focused on trust, vision, and building relationships. She also found leaders are visionary and see the global picture. While examing the perceptions of principals who had a smaller leadership role than those in Millard's study, Rowley (1988) found principals' perceptions were that change was a process and necessary to improve the learning environment in the school. Rowley concentrated on the perceptions principals have on their role as change agents. She discovered timing, personal responsibility, decision-making and effective leadership as keys to the change process.

In my study, I focused on how specific changes were implemented in a school by the principal. Rather than focus on general perceptions, as has been done in much of the change literature, I examined the specific context and the actual implementation process of various changes into a school.

Summary

In this chapter I have reviewed the literature on change and the role of the principal in various aspects. I have examined how principals set goals and vision for their schools and how these visions are the impetus for change. Various change models were included, particularly the models formulated by Fullan, Sergiovanni, and Leithwood. Following various change premises will also help the principal throughout the change process. These premises are change is personal and contextual, change occurs in a system, timing is crucial to change, collaboration is necessary during change, others must be monitored during the change process, an environment that is conducive to change needs to be created, principals need to deal with resistance to change, and teachers require support during the change process. These premises are factors that will affect the outcome of any change and need to be considered by the principal throughout the change process.

Chapter 3

STORIES OF PRACTICE AND THEMATIC FINDINGS

The following chapter contains three principals' stories of practice and a discussion of the themes from these stories. Each story of practice describes the principal's philosophy on change as well as how the change process occurred under various circumstances. It includes how the principals used change to help the school reach its vision or goals, problems the principals encountered when implementing change, as well strategies used to implement change. These stories also address how each principal attempted to create a climate conducive to change and how they involved staff in the change process.

Through analysis of the stories, various themes emerged. These themes are central to the understanding of change expressed by all three participants. The following themes concerning the change process were evident: relationships with staff, understanding the need for change, and working through others. Each of these themes affected the change process. The themes are discussed in greater detail in the second section of this chapter.

Three Stories of Practice

Susan's Story

Susan was in her third year as principal of her school. Prior to that she was an assistant principal and a consultant. She also taught all grade levels before becoming an administrator. The school she led was an elementary-junior high school in a middle class socio-economic area of a large urban city. Her school was an older school that was in need of some repairs. For the most part the school was warm and inviting. Everyone in the school seemed happy and busy. Student work and notices of upcoming events were displayed throughout the school. Susan made this comment about the staff:

> We have a really good team feel in the building. Everyone gets along with everybody. When we are up in the staff room at lunchtime they joke around that we're one big dysfunctional family and there is a lot of teasing and so on that goes on.

The congenial atmosphere was evident when entering the school as an outsider. Teachers got along well and were happy to be in the school. Susan too thought the school was a positive place and she was proud to be the principal of her school.

Susan was very sure as to the goals she had for the school. Susan had a direction she saw for the school and she believed there were two major changes that she had to initiate for her school to lead to improvements. These changes were tied to the vision of the school. Susan and the staff choose to focus on two areas that needed changes. She was very clear on what these changes involved and also the result she was hoping to achieve with the changes. The staff looked at where they wanted to go as a school in terms of behavior and achievement. She noted that behavioral changes were needed first. In order to reach the behavioral goals, the school implemented a Character Education Program. They used the Character Education Program to get everyone in the school using the same vocabulary and focusing on the same behavioral issues. The second change was Curriculum Alignment. They concentrated on math first and then each year thereafter they planned on working on another core subject area. The purpose of the Curriculum Alignment was to improve the achievement marks and the classroom teaching in math. Susan described these changes as two fold, first they were a reflection of where they wanted the school to go, and secondly they were also a reflection of what we saw as needs of this particular situation." The changes were implemented for two reasons: to help the school reach its goals and solve problems they were encountering. Susan had also made other smaller changes to help reach the goals she had for the school and had also initiated procedural changes so the school ran in a way more suited to Susan.

When I asked Susan to describe her vision for the school she discussed what she wanted for her school. She said her vision was similar to that of many other schools. The main area of focus was a "safe environment for kids to be in." The school needed to cut down on the number of fights, wrestling, injuries, and disrespect. She wanted a "certain kind of discipline, self discipline and a certain attitude." Basically she wanted the students to treat each other with respect and to think about the way they treated others. Character Education was implemented as a way of reaching this vision. "So we felt that Character Education was a way that we could accomplish that and give us two or three years and I think we will get that kind of a vision where people are respectful to each other." Character Education was implemented first because behavioral changes were needed. "I don't believe that you will get achievement unless you have the behavior first." It was impossible to focus on achievement when the children were too upset to work because of behavioral incidents.

The second area that the school wanted to improve on was student achievement. The school wanted the students to do better in each of the four core subject areas. Therefore, Math Curriculum Alignment was introduced and other subjects would be introduced in later years. The visions and goals for the school were related to the district priorities. She believed that other schools in the district were probably doing very similar things; they just might word their priorities differently. I also asked if they had sat down as a staff and set a formal vision statement for the school. She said in most cases the school used the district priorities as their focus. "But I think all of our discussions and all of our focus and when we talk budget, we are very specific to the district priorities. And how is what we are doing, how do our actions and our plans, fit in with the district priorities?" The school used the district vision as its own. She also explained that the school had a philosophy when she arrived and that she had maintained the same philosophy.

> Hill Valley School does have a philosophy, it was here before I came, and it was one that made perfect sense because it focuses on children's safety and children's learning. So it made perfect sense to just leave it alone.

Since the district vision and the existing school philosophy fit into the vision Susan had for the school, she saw no reason to create a new statement.

Various techniques and support people were used in implementing these changes. Initial brainstorming was used to bring out the areas that needed changes. The staff brainstormed the direction they wanted for the school and then what needed to be done to achieve this direction. Input from parents, and the school council involved ranking the various choices to see which they saw as most important for the school. Once ideas for change were brainstormed, the staff narrowed down the ideas into two workable choices so that there would not be a plan with "seventy-five things," they were doing. Susan did not want to "list all the things that we do all the time anyway," but rather focus on two main goals for the school. Other ideas that were given were incorporated into the two changes where possible so that good ideas were not lost. Once areas of focus were chosen they were then worked directly into the school's budget plan and into the school's three-year plan. Last year when the decision to implement Character Education was reached, Susan had consultants come into the school for professional development at the start of the change process. A consultant introduced Character Education to the teachers and explained the process to the staff. The teachers used Professional Development to become familiar with Character Education so that it could be implemented fully the following year. A plan was put in place jointly by the principal and the teachers on roughly how they would implement Character Education and then one teacher worked at coordinating the plan. This year they implemented Character Education school-wide. The coordinating teacher reported back to the staff at monthly meetings so everyone was informed throughout the change process. These meetings gave staff the chance to discuss and contribute to the change process. They were even holding meetings in their classrooms and sharing new ideas relating to Character Education.

Susan discussed change as an incremental process, whereby change occurred gradually or in steps. In the case of both changes, Character Education and Math Curriculum Alignment, the change was introduced and conducted gradually. She used a step-by-step approach whereby step one was completed first and then step two and so on. The principal believed that change needed to be completed in steps with each step being completed before a new step was introduced. She used steps to complete the two major changes and also used an incremental process to complete minor changes. When she spoke of any change, she could explain the steps along the way to arrive at the end result. For example with Character Education the staff brainstormed areas of change for step one. In step two a consultant came in to talk to staff. Step three was to get the consultant back to formulate a rough change plan. Then step four involved selecting a teacher to lead the process. Step five was to build the change into the school budget plan and into the school's plan.

Collaboration was an important part of the change process. Teachers were asked to lead meetings and coordinate the two major changes. As well teachers were part of the initial brainstorming and they collaborated with the principal on the areas of improvement that the school needed. Other stakeholders, such as parents and the school council, were asked to provide input throughout the change process. Susan believed that you could not make change alone. "It's got to be with the staff, not against them. It's got to be everyone working together not telling them what to do." As the teachers have a large part in any changes that are made and they are directly affected by the changes, they need to provide input and have a say in the decision making process. Susan regularly asked for input with various school problems. "This is the problem. What do you guys think? This is what I am thinking. What should we do?" Collaboration meant involving others in the change process by not just asking for input but asking teachers to lead the process.

The school climate and atmosphere contributed to the change process. Because the school has a positive climate, change was easier. The staff are "like-minded people," and so they wanted the same things for the school. Susan had a strong opinion about how an atmosphere of trust was created. She said it was necessary that no surprises were created. She was up front with teachers about problems and changes, and she expected her staff to do the same. For example, if a parent came in upset about a teacher, she would go to the teacher and discuss the situation, rather than keep it from the teacher. Susan also noted the need to be honest with staff about change. If any changes that affected others were to occur, she would consult with the staff.

> One is I don't make decisions that affect other people without consulting the other people. But at the same time, if a decision has to be made, I take all the information and make it. And people know where they stand; they know it's very clear.

Susan thought being a dictator would not create an atmosphere for successful change. It was important for her to consult with the staff and involve them in decision-making. "You get more involvement from staff that way as opposed to me dictating, or me leading the meetings, or me saying this is the way it has to be." The school had a relaxed climate and this was maintained with the belief that any mistakes were not life threatening and that there was nothing that could not be fixed. When people were comfortable enough to make mistakes a more relaxed atmosphere was created. People skills that made people feel confident and comfortable with their own mistakes contributed to a climate that was more conducive to change. She also thought that a sense of humor was necessary in creating a positive atmosphere. When the staff could laugh and have fun with each other, the climate was more supportive and conducive to change.

A new principal must not make changes too quickly, but rather must first become familiar with the staff and the school. Susan said, "You don't come in as the brand new person in the school, and try and change everything overnight. You'll build nothing but resentment." It was important to allow for time to staff to get to know her before major changes were made. At the same time, Susan needed to take the time to get to know the staff, the school, the students, and the parents before changes could be made. Susan said,

> I sat down and met with each teacher and I asked some questions. I asked questions such as, 'what was the best thing that happened in this school last year? And if you could change one thing, what would you change?' And by talking to people one on one and asking those kinds of questions, I got quite a lot of information.

These questions gave Susan some indication about the areas of change each staff would like to see and also told her which areas staff members would like left alone. Without understanding others, it is impossible for her to see how others will react to changes. "I don't think you should walk in as the principal and make all kinds of changes immediately. I think you should spend several months asking questions and listening." Susan suggested that once the principal had gotten to know staff and vice versa, then changes could be made in collaboration.

Susan did describe one change she made at the beginning of the school year even though she was new to the school.

> The students had two assemblies, they had a junior high assembly and an elementary assembly and they were always separate. And I didn't like that. I thought that didn't make sense at all from my perspective because we are one school and we should work together as one school.

So she decided to change the assemblies. She knew that the elementary teachers would likely oppose the idea, so instead of giving the teachers an option as to whether or not the change would occur, she said, "I'm going to change the assemblies to whole school assemblies, how can we make it work?" She knew if she gave them the choice of not having whole school assemblies they would take this option so instead no option was given. Instead she asked for staff to give input on how they could make the proposed plan work. It was a staff member who came up with the idea of family groupings that the school is still using for the assemblies. Sometimes changes that Susan really believes in were made regardless of staff opinion. She had the final say and decided when to implement a change. The staff followed the change and contributed their opinions when it came down to the implementation level and how the change would work in practice. At the same time Susan knew there was opposition to the whole school assemblies. She decided to try it with the staff suggestions. Had the assemblies not worked out Susan was ready to say, "Okay guys we tried it. It did not work, let's try something else." She would have accepted the objections and be willing to try something else if her plan had failed.

Susan thought a new principal is able to see things an experienced principal in that school may miss affecting their ability to instigate change.

> You would walk into a building and as a newcomer in a building; you get a certain feel for the building. You get a certain feel for the tone of the people in the building. If you are coming in to this building every single day, you don't see that anymore.

She used the analogy of your own house and how you will not notice things in your own home unless they are moved around or out of place. Susan believes that changes in personnel are healthy because they bring a new perspective. The person with a new perspective can see things that may need changing or improving. "Or maybe just because you have done things differently, you come in and you have a different point of view." She commented that a new person in a school is healthy because they bring in a new perspective and also new ideas on different ways of doing things.

Susan discussed incidents of resistance to change and suggested ways of dealing with people who are resistant to change. She said if there are one or two resistors they might eventually accept the change because everyone else was and their colleagues would convince them to support the change. People that support the change may convince others it is a positive notion. If too many people are against a change, she may have to rethink the change. She commented you did not have a "working situation" when many staff members were opposed to you. There cannot be too much disparity between herself and the staff. Susan also discussed that at times resistors could be used to convince others. "Get the real nay-sayers on board. Because once they come on board they will be even more powerful in convincing others." If resistors can be convinced, they can powerfully convince others of the change. At times it was necessary for Susan as the principal to stand up for what she believed in and let the staff know that even though they may not support the change wholeheartedly, it was something that needed to be done for the school. Susan said it was important to share with her staff the rationale for decisions because in doing so it was easier for staff to understand the change.

> There can be factors that staff are unaware of that mean that you make a certain decision that maybe they don't like. Now most of the time, I try and make all my reasoning very clear. And make them aware and again very directly, this is why I've made the decision this way. This is why it's going to be this way. I know you don't like it but this is why.

The key was finding the balance, "I can't run this building...if I don't have a cohesive feeling in the building. A cohesive sense of working together and everybody on side." Major disagreements were rare in Susan's school.

Many times people are scared of change just because it is a change. Susan commented that at times people resisted change because it was new and different. "A lot of people are resistant to change just because they are comfortable in their own routine." They do not want their own comfortable routine to change. Susan discussed the comfort level people have and how change can be implemented slowly so that people become more comfortable with the change.

> If you can work around it, if you can do it in small increments, if you can do it without butting heads; you can have people doing things differently without them even sort of realizing that they're doing it differently. Or you can make it a smoother transition so that it's not sort of a shock or a fighting you on it.

Making gradual changes helped others become more accepting and less fearful of change itself. Rather than arguing or confronting a staff member, Susan listened to the opinions and concerns of others who might fear the change. The most important part of allowing others to accept the change was to make the transition from the old way of doing things to the new method as smooth as possible. Susan created smoothness by implementing the change slowly, bit by bit and also by discussions with staff along the way. Susan commented that meaningful change will not occur overnight, but requires time for staff to get used to the ideas and rationale behind it. People also need time to adjust to the change and internalize it.

I asked Susan if she felt that the teacher's experience level affected their willingness to change. In her school she believed that all the teachers were willing to change and try new things. Her school has a nice mix of staff:

> Because you have the experience of the older people, but you have the energy and enthusiasm of the younger people. And what I find is they work together well, and the more experienced people aren't afraid to say that they have learned something from some of the newer people.

The teachers were willing to collaborate regardless of experience level; therefore the experience level was not really an issue when implementing change. She did note that the length of experience could be a problem on some school staffs because some experienced teachers are unwilling to change she said because "this is the way I've always done it and this is the way I am always going to do it." Susan thought she was "fortunate," because even though these resistant attitudes to change could occur, they had not occurred in her school.

Attitudinal change was another area Susan discussed. She stated that,

> I think that any change really in effect is attitudinal no matter what kind of change you make. It's attitudinal because, people have a set way of doing things and when you ask them to do something that is different; they are going to have an attitude about it.

When people were asked to make changes they needed to change their existing, preconceived attitudes regarding the change. Susan said, "It's their attitude that is going to determines how successful that change is. Whether or not they are accepting of change. So maybe everything is attitudinal in that respect." The change would be successful and others would be receptive to it if they were able to keep an open mind and were willing to try the change. On the other hand, sometimes change could bring about a change in attitude. Susan gave the example of the school assemblies. Once the assemblies had changed and junior high and elementary had one common assembly, the attitudes in the school began to change. The elementary teachers and junior high teachers were now doing many cooperative projects together. In this case, the change was first but it did lead to a change in the attitudes for the entire school. When the people saw there was a need to change then the attitude came first. Susan gave the example of cleaning up the fighting on the playground, "so the attitude was already there that we need to do something, maybe it is dependent on how much people see there is a need for an action." When people had very strong opinions and felt strongly that something needed to change, their attitude and beliefs could bring about a change.

Susan did not believe that the changes she was implementing would bring about other unexpected changes. She noted, "The spin off is what we expected." A great deal of time was put into these changes and no unexpected events had occurred. When they implemented Character Education, the staff thought it would "improve student relations and if you had students who weren't coming in from recess super upset about things, then they would perform better in school. We are seeing that." Because the program was only implemented this school year, it was too early to tell if there would be any unanticipated results. Susan did not think that would be the case. She did believe that the Curriculum Alignment they were doing in math could eventually lead to informalized Curriculum Alignment in the other subject areas, whereby the staff would reflect on the teaching they were doing in the other subjects. She wondered if there would be "some sort of automatic looking at the other areas of curriculum without it being formalized. Like will people say, 'Oh if I was doing this wrong in math, maybe I better check what I am doing in science.'" As Math Curriculum Alignment was introduced this year, it was not possible to see if this did in fact occur. When the school did Curriculum Alignment in the other subject areas Susan predicted it might be easier to do having already completed the process in math. If a change has already been made, a similar change may be easier, as staff members are familiar with the process.

Susan used monitoring during the change process to ensure the change was progressing and also to check what had been delegated to people. She used incidences of misbehavior as a gauge to measure the success of the Character Education Program. She said achievement marks would determine the success of the math Curriculum Alignment.

> The formal monitoring will be tests results in math. Do we see a difference? The formal (monitoring) for Character Education - do we see a difference in number of suspensions, in numbers of teacher interventions, in numbers of principal interventions in behaviors, in numbers of incidents on the playground and so on.

Informal monitoring was also conducted by listening to staff comments at staff meetings, and meetings pertaining to character education. She also listened to the questions teachers asked each other. By listening she could monitor the changes in student behavior. She monitored the staff by asking their opinions on professional development days and asking the directions they wished to take now. The teachers were also asked what they learned about math when visiting other schools. She learned a lot about the progress of Math Curriculum Alignment by asking teachers to share new ideas they learned. Examining student work was another informal way to monitor the changes in both Curriculum Alignment and Character Education.

At times we can feel uncomfortable with the changes we have made. Susan has made such decisions and was not afraid to tell the staff that there was a mistake and that she thought they should try something different. She sensed that she gained "more respect" by admitting she was wrong and that maybe the change should have been implemented in a slightly different way. She has let both staff and students know that she thought the decision was not going as they had planned and was willing to make changes. She gave the example of when the grade nine graduation funds were stolen and her initial reaction was to cancel graduation. Susan changed her mind when she talked to the students and discovered how strongly they felt. She thinks that as the leader, she is not always right and that she should admit when she has made a mistake. "I am not always right 100 percent of the time. So why just because I am in this position, would I think I had to be." She was not afraid to take risks and admit to staff that a proposed change had not gone as she had anticipated.

Susan was aware of, and spoke of the danger in changing just for the sake of change. She believes that change needed to be made, "because we really need something to be different." Change was not just done because it was the " band wagon" thing to do, but rather because she and the staff believed the change would improve the school. Each change was implemented due to a need for improvement. The staff felt that there were behavior problems and that the students were not achieving in math at the level they should. Character Education and Math Curriculum Alignment were implemented because the staff thought that these changes would address the problems the school was facing.

Timing is another important issue. Susan pointed out that major changes do not occur overnight. She discussed the Character Education Program her school had started,

> We know for example, we started Character Education with training last year. This is our first year of actual implementation. We know we are making progress, but we can't just forget about it next year or put it on a back burner. It has to still be a focus.

Major changes required more than one year of focus. It took time to implement them successfully. Once the change was automatic and something people did all the time anyway then the change would be less of a focus.

> Maybe after three years, we can in a sense put it on the back burner in the sense that it is now automatic. And it is just something we all do without even talking and thinking about and we don't need the lead teacher for that anymore because it is all so ingrained. But that wouldn't happen after just one year, not for a big change.

Susan said that time was necessary to "really implement something and see whether or not it really did effect change." Without taking the time to fully implement a change, it was impossible to gauge if the change was really effective. She also said that major change requires time because you cannot do it all at once. "It has to be broken down and done in stages." For example, with math Curriculum Alignment there were many aspects that needed to be considered. In order to make changes the school had to look at testing, lesson planning, evaluation, presentation of lessons, and teaching strategies. Examining all these areas would require time, especially if one hoped to examine them in detail. Susan also said, "You need the time, I believe also, to think about what you've looked at." Time is needed to "mull over conclusions," and consider what other steps will be needed.

Susan was very sure of the changes she was making. She believed they were for the right reasons and because they were things she believed in. She gave me an old analogy about "choosing which hill to die on," because as a principal one may be asked to make many decisions and change many things. She decided which changes she truly believed in and determined which changes were worth the fight. There is no point in making frivolous changes or going through all the effort required to make a change successful if that change is not really important to her in the first place. The change must be one that Susan believed would lead to the greatest benefit for the students and staff in the school.

Kathy's Story

Kathy was in her third year as a principal. Before becoming a principal she was a curriculum coordinator and a vice principal with the same school board. She also taught elementary school for a number of years. Kathy's school was an elementary school with about 200 students. There were twelve teachers and the school was in a middle class area. The school was over twenty years old and was in fairly adequate shape. Kathy was younger than most of the staff in the school who were nearing the end of their teaching careers. The school had experienced little staff turnover and very few other changes in recent years. The previous principal retired from the school after ten years and there have been no staff changes in the past four years.

Because the school had had so few staff or other changes, the teachers saw their school as being very satisfactory. Kathy believed she needed to change attitudes before changes could be implemented. She said, "We can't have change until we change attitude. I can come in and say we must do this and we must do that, but unless we've had an attitudinal change about why, it's real slow." The biggest change in attitude for Kathy was trying to inculcate the belief that the students in the school were great and were worth the teachers' effort. The staff also needed to change their attitude that everything was adequate in the school. Because the school was fairly successful, the staff felt that change was not necessary and that the status quo should remain. This principal was trying to incorporate little changes where the staff could be successful. Kathy made the comment, "I know it seems like it might be slow, but those are all things unless we change the direction of how we see things; we'll never bring about real change." Her goal was to change the attitude and perceptions about change first and then she could go about changing other things in the school.

Kathy had made numerous small changes in her school. Most of these reflect her beliefs that the role of the school was to do the best job it could for every student. She introduced clubs for the students so they had extra curricular activities. She had also changed report cards so the comments better matched the letter grade. Excellence awards were added to acknowledge the great things that the students did everyday. She also changed the plans that teachers leave for substitutes. She believed these plans should include routines and be as comprehensive as possible so that instruction was less disrupted. All of these small changes tie into Kathy's beliefs about students and education. She believes that it is the principal's job to make changes where possible to improve the education for the students. The main reason she is a principal is for the students in her school. She brought up the remark that these changes were little for her but "they weren't little for staff." This staff needed to change a little at a time. She thought that large changes would probably not be successful, as the staff had not gone through a major change (other than the new principal) in a number of years.

As a new principal she could not make numerous changes until the staff felt they could trust her. She was starting with little changes that were not very risky. " I think if we can keep the risk level down at least for me in the first little bit, next year if I bring in some things that have a little more risk factor, they'll know that I will support them." Once the trust is in place and the teachers understand the new principal, larger changes can be made. Kathy holds the belief that is necessary to allow the staff to hold onto existing ideas and some power so a sense of cohesiveness can be created with the new staff.

> I haven't changed everything I want to change, because I can't. I need to hang onto these people and let them have power and let them feel like we are a team before we go on. Because I know situations where principals have gone in and reassigned classrooms and changed this and changed that and by the end of September you have five teachers asking for transfers.

The teachers needed to feel comfortable in the school as well; therefore everything could not be changed. Also because Kathy's school had experienced so few changes recently, they were not comfortable with change. The teachers needed to become gradually used to the idea of change and also needed to see that change could be positive.

She did think that a new principal could make changes in a school more easily than one who had been there for many years because newcomers can see areas that need change.

> I think we fall into a very comfortable way of living, a comfortable way of living with our kids, and with our parents, and with our staff. I think it's the exceptional people who are able to say yeah I'm comfortable but we still need to work on things. I think change is hard to do in your own backyard.

Kathy thought that a person could become too comfortable if they remained in the same position for too long. They would not make changes because everything was familiar. A person may become complacent and not see all the changes that are necessary for improvements. A new principal also tries to change the school so that it fits the principal. "When you're put in to a new situation you try and make it comfortable for yourself. So I tried to make this be the school that I wanted to be in when I came. It wasn't like the school I wanted to be in." Kathy first made cosmetic changes to the office so she would feel more comfortable in it. Then changes were made to make the school fit into what she wanted for a school. Kathy thought it would be hard as an experienced principal to be "innovative and exciting," and she was interested in knowing how principals who have been at a school for a long time continue to make changes occur.

I asked Kathy if the school had a set vision or goal statement that they used as the basis for change. She said the school had a "mission statement" that she had "inherited," when she arrived at the school. She did not feel it was necessary for the school to sit down and develop a formal vision statement, "I've not sat down and revamped a vision statement and part of that reason is that they all say pretty much the same thing." Since Kathy viewed all vision statements as pretty standard, with the same basic content, she had not developed one with her staff. She did discuss her own vision or philosophy with the teachers, "I want decisions we make to be made for kids." Any changes or new ideas introduced had to follow the basic assumption that the change would lead to a benefit for the children in the school. She was trying to instill the same philosophy in her staff by modeling this belief to others and also by stating her own vision wherever possible. By constantly reiterating her vision and making it a focus for the school, she thought that others would eventually accept her vision.

Kathy was trying to change the teachers' attitudes in order for her school to match the personal vision she had for it. The first attitude was that anything that occurred in the school was done with the students as the focus. "The idea that we're a school for kids so, what are you doing for kids to make it better than just teaching?" was one attitude change she was trying to instill. She had used clubs and intramurals to foster this attitude. By starting clubs she was hoping teachers would see other, "fun" ways they could be involved with students. The teachers would realize that there was more they could do for the students than just teaching. Again she was trying to make the school match her vision that they were a "school for kids."

Kathy was also trying to change attitudes that existed amongst her staff. She was trying to make the school more "client driven." "We need to treat our parents as clients and we need to listen to them. We need to make sure that when them come to us with a concern we deal with it and we follow up and we show them that." Her justification was that children are very important and special to their parents and sensitivity is required when dealing with parents.

> We need to, when we have a problem with them, or we're dealing with the parents or we're dealing with the kids, we need to remember that that's a real sensitive part to try and criticize someone's child. And we can't just do it and walk away. We need to do it in a supportive way; we need to listen to the parent concern and again that has to do with a child.

Her belief was that parents had to be treated with sensitivity and that when discussing students, teachers had to be extra sensitive towards the parents and their concerns. Since this belief was a central part of Kathy's philosophy, she was passing it onto the teachers through modeling so that it would become a philosophy of the school. She was sensing a change in the client-centered attitude because there had been fewer complaints from parents about how teachers treated them or their children.

Kathy was also trying to change the staff's attitude towards change itself. Because the staff had experienced very few changes they had trouble seeing new ways of doing things or realizing that change might work. They were not outwardly defiant or resistant to changes; they have just been part of very few changes in recent years. "There has been very few staff changes and with very few staff changes it means that we have a very small view on the outside world." Because they have not had any newcomers on staff they were missing the new perspective and ideas that new staff members bring.

> You know we might go to a couple of in-services and talk to some friends there, but it's not like having somebody come on staff who says, "Oh yeah, I've always done this, or oh you guys don't do this, that's one of the best things we've ever done;" as a colleague. So their view on how to do things differently was very limited.

Since they had such a limited view of the outside world, change was more difficult. The staff did not realize that there were different ways of doing things because they were very used to always doing things the same way. They had experienced few changes and as a result did not consider change or new ideas often when they encountered problems.

Another key change for Kathy was making staff room discussions more positive. "It focuses our discussions away from the kids that are giving us grief to actual teaching and learning, which is really, really hard." She believed that if the staff room conversation focuses on the positive aspects of teaching, others can learn from that discussion. For instance the teachers can share the way they do grouping or a new project they have tried. Kathy has carried this idea from her own teaching career. "I can remember back as a teacher having those types of discussions or listening to them at the staff room table and thinking 'Well gee maybe I could try that.'" Kathy gave an example of a professional development day she recently had that continued the same premise. She had a person do art as a professional development activity, allowing the teachers to work with clay. "The fellow who taught it was able to break it down into steps that they could then teach to their kids." The teachers came away with a concrete idea they could use in their everyday teaching. The professional development day also causes teachers to talk about and think about teaching in a positive way.

> Any time we can get teachers talking about what they do as opposed to what they don't like about what they do. We get more connections made about who is good at what and who can support me when I do the clay work or who's better at science or who can I go to? Because as teachers we don't usually ask for help.

Kathy noted that once teachers started focusing on the positive aspects of teaching, they could gain a great deal from helping each other and working together. She was taking her belief about using positive interactions as opportunities to grow and trying to make it a part of the entire school's philosophy.

In order to bring about change Kathy employed many strategies. One strategy she used was collaboration with the staff. She often gave the teachers time for what she called, "Discussion and decision," in which the staff shared ideas and opinions and then would reach a decision about what they would do. She would regularly ask the staff for input and suggestions on various topics. At times there was collaborative decision making on different issues. Often Kathy would not vote so that the decision was truly a staff decision. She commented on one decision that, " It wasn't a top down decision so I think it was more accepted and it was open to discussion." She explained that once people have had their say and contributed to discussion, then a group consensus is reached. They are more likely to accept a consensus decision. When a group decision is made one person is often delegated to be in charge of the new project. Kathy felt strongly that delegation must allow the staff to look after activities on their own.

> Because what you can't do when you delegate is, you can't own it. Because if I own it, if I'm going to be the person who's going to say "yeah" and "nay" in the end, then I have not delegated it. And I always look at there's sort of three different levels. There's passing the buck, right and then there's delegating something and then there's empowering people to do it. And I think that what I'm working at is empowering people to kind of get on to it. But if I were to step in, they would feel that I'm going to tell them what to do any ways, so why try.

A strong belief in allowing others to make decisions and also the belief in empowering others was apparent. Decisions that had to do with the school, how teachers worked, and how things were run, she tried to leave up to the teachers: "How we do things in our school. And I would rather not make those decisions and I would rather teachers decide what they want to keep and what they don't want to keep." For example, she asked for staff input on volunteer brunches, school carnivals, and Christmas concerts. "But I think in a school any time if we can make people feel part of it, if we can support them as they go along, if we can laugh about the things that didn't go well, if we can hold up and honor the things that did go well; people will keep working." Kathy believed that if she could involve others as much as possible in the change process, they would see that the change could be successful and would be more likely to change next time. Others would realize that change was not always a negative thing and would be more willing to change in the future.

There were times that staff input was not included for various reasons. She was honest with the staff and told them her rationale for making the decision on her own. "But that has to be real clear to them before you start discussing, whether it's going to be consensus, or it's going to be input, or it's going to be top down." It was important that the staff knew ahead of time how much input they would have in the decision making process. She said the things that were most important to her did not involve group decision-making. There were certain things that she truly believed were necessary and did not involve staff input. She held her ground and she insisted on making decisions about the changes that she thought would really lead to an improvement for the students. She felt that some decisions needed to be left up to her even though she might ask staff for some input or opinions on these topics.

> And I mentioned before that if it is something that I have to, because I have to answer to somebody else, that I might just be looking for input and I couldn't do it just because everybody wants. And those are sort of staffing decisions, and money decisions and those kinds of things.

There are times when the staff had to "live with the changes" that Kathy or others had imposed.

Another strategy Kathy used when implementing change was that once a change had been decided upon, she set the parameters for the change. She would offer guidelines and expectations regarding what the change should look like. For example, when setting up intramural clubs for the students, she specified how many sessions each club should hold and the grade levels they should include. When the parameters had been set she left the decision making up to the staff. She publicly recognized those who have completed their clubs as a way to "bump up the accountability level on those who haven't yet got started." She also helped those who needed extra help to get started with the change. Decisions that were mandated or set up specifically by the principal had more direction and set parameters so staff members were aware of how the change would look.

One of the techniques Kathy used to get others to accept change was modeling. She felt that if she asked staff to do something then she had better be prepared to do it herself. For instance when she asked her teachers to each start a club to increase the number of student activities in the school; Kathy also started a club. She also believed that if she showed the staff what she expected they would be more likely to change.

> I think then the teachers see that I'm working with the kids or I'm working in the school or I'm doing something that perhaps they didn't think was important. They see the benefit of it and a lot of times it gives me more respect for who I am and what I am saying.

Kathy felt she could be most successful if she modeled the behavior she expected and if she did not ask others to do things she was not willing to do herself.

When involving others she usually chose informal discussions to monitor progress. She would check in with staff members to see if they needed help and to check on progress. These would not be done in formal meetings but rather informally. By helping the staff members she could show her support and also see if there were any problems with which the staff needed help. Assisting the staff also shows that she respected that they had a very busy schedule and might need some help or just extra time. Kathy compared monitoring the teachers to monitoring students except, "I can't use a report card on my teachers; I don't have any benchmark." She monitored progress by visiting classrooms and assisting the teachers. In the classrooms she would be looking for certain things,

> It's just are they comfortable with me in the room because they know what I'm looking for and that's kind of one of the things. Am I seeing that kids are engaged? And when I stop at a desk and when I ask the kids what they are doing, are they able to tell me? Is the teacher comfortable with that?

Visiting classrooms and asking questions allowed Kathy to critically reflect on what was occurring in the classrooms and see if new programs were being successful. At times a note was used to check on the progress of a change, but these too were informal. Notes were used in the cases of larger issues, for example, curriculum issues that needed to be addressed. Any time she needed to discuss anything negative with a staff member she would do so in the office or behind close doors. She was very respectful of her staff, making sure that private issues remained private.

Kathy thought that when she implemented one change it often had an impact on other events and would lead to changes in other areas. She believed that once her staff had a change in attitude and started to see things differently, they would be more willing to change. She noted that the student clubs she instituted and other attitudinal changes were leading to a more positive outlook in the way the staff viewed parents and students. The teachers were having more positive relationships with parents.

> And I think that they are starting to see it as more client driven and it's not my way or the highway. Certainly I have worked with teachers to get parents who have been very adversarial with the school, back on side. And teachers have noticed that. I think that means that when they go to talk to that parent or another parent they might think twice about doing the old knock down the front door as opposed to going around to the back door.

As the school changed and used student learning as the focus for decision-making, it became a more client driven school. Changes had also led to a change in the way the teachers did things in their classrooms. Teachers were starting to think differently about their students and it was reflected in the way they were approaching daily classroom activities. The teachers were becoming more positive and focusing more on what they could do to improve the education for the children in their classrooms.

Making others feel safe and supported created an atmosphere where they were more likely to accept change. Kathy believed that if the teachers felt supported and that she was on their side, a sense of trust was created. She created a supportive environment by bonding with the staff as best she could despite the distance that was always present between principal and staff.

> I am the principal and I guess that's been one of the things that has been a real hard thing, is that you are outside of the group. I am fortunate, I have a secretary that, that you know, I can confide in and kind of get some support (she's) been there for a long time, so she gives me insight into people.

Kathy used her secretary to help her understand others and develop better relationships with them. Modeling and doing things she had asked her staff to do also helped create a more trusting environment. She believed that because she was much younger than the majority of the staff, she had to work harder to build trust and a safe atmosphere. She also saw the need to respect the staff. "Part of it is just respect for the differences that are on staff." As principal Kathy realized that all the teachers on staff were unique and each had their own strengths and weaknesses and their own personalities. She also thought that respect included creating a team atmosphere. This meant letting everyone know that their opinions were important and that all opinion, even dissident ones, would be respected. The key was letting staff know that she was listening to them and their concerns. It was also important to "appreciate the efforts" of others. Part of this appreciation was shown by public acknowledgements. "We have this warm fuzzy part at the beginning of our staff meetings where we thank people or we mention things that people have done that have been above and beyond." She also mentioned positive accomplishments of the teachers in newsletters. It was important to Kathy to show teachers appreciation and honor them so they might be more willing to try new things next time. "And I think when we do that and we show the community that we honor that; I think teachers feel more likely to give a try." Being interested in what the teachers were doing also showed "honor" and respect. Kathy tried to be actively involved in the classrooms and show teachers that their daily work was important.

Kathy discussed issues where teachers were not in total support of the changes she was trying to implement. At times when people were resistant to change she felt that she needed to stand behind the change if it was something she really believed in. If the change she was proposing was something she truly believed needed to be done, Kathy was more forceful in bringing about the change. She used the example of inadequate substitute plans. She thought that a change was needed and since the issue involved continuation of instruction she would not let the change slide.

> It is interesting because I always try to and it's not being clever, but just make sure that I am trying to get the message across to how it's linked to kids. So I started the discussion by talking about continuity of instruction.

To try to get others to accept the change, she introduced a rationale as to why the change was important. She linked the change to her central focus on the students and providing them with the best education possible. The rationale led a few more people to support the change. She was patient in waiting for the rest to complete the new plans and offered assistance to those who were having trouble completing them. By offering help, she showed her support and her willingness to assist them. She also showed her belief in the change by refusing to back down. One teacher did not hand in the substitute plans as requested. This particular teacher was retiring that year after teaching for twenty–five years. "Why on earth would I go and harass somebody that's finishing up their last five months of a twenty-five-year career?" Kathy referred to this situation as "not life threatening, and not immoral." It was not important for this particular teacher to hand in her plans. Had it been another teacher who "I think had a lot of absenteeism and I needed to have them," Kathy would have insisted the teacher hand them in. Because this teacher was retiring it was not something that was worth a large confrontation. Kathy said this was "not a mountain for me to die on." In other words there were important issues for her to fight for but this was not one of them.

Kathy thought part of the problem new principals faced when trying to institute change was that they were coming in as a new staff member and asking others to change what they were already comfortable with. Kathy explained "I mean I've come into their house and I am telling them you can't cook like that anymore because I don't think that is a good way to cook." Kathy believed others might oppose a change because it was something new and because she was telling them that the way they used to do something was not as effective as a new method. She thought people sometimes questioned change because they saw it as an attack on the previous method. The attitude is often, "If it isn't broke, don't fix it." If a person does not see a problem in what they are currently doing, why would they want to go through the effort of trying something new? Kathy believed that if she could provide a rationale or let others see the need for the change they would be more likely to accept it. She gave the example of children coming in through the front doors. In the past they were not allowed to use these doors. Kathy asked the teachers to provide the reasoning on this rule. "Can you give me a good reason why they can't come in through the front door or leave through the front door? Please do, I mean give me justification, if I believe it's valid, I'll support it." By providing a rationale, others could see if the rule was beneficial or if a change was in order.

Another issue or problem a principal might face when instituting change is confrontation. Kathy tried to avoid confrontation wherever possible because, "it is not her style." She believed that if possible, "try and go through the back door as opposed to pounding down the front door." She thought compromise and working together would solve more problems than confrontation. If, as a principal, she were confrontational in dealing with others she would offend others or create "enemies."

> Because I think that any time we are in a situation of choice, if we are in a situation of confrontation: we are beholding to always give that person a way out. Whether it's kids, or parents or anybody I deal with, I always try and structure things so that they can save face.

Kathy compared this to teaching children and giving them a way out instead of creating a confrontational situation where one person will lose. When creating change, a conflict may arise but she believed it was important to make sure the conflict does not escalate into situations of confrontation If such a situation does arise, it would be difficult to find support for the change. She also used the strategy of helping others to avoid confrontation. Kathy used comments like "let me know what you need," as opposed to "you need to have it in, why isn't it in?" to offer help and guidance instead of making demands on others. This strategy worked for Kathy and her personality. She was not demanding things from staff that would make them uncomfortable, instead she was offering help as a way to say, "I feel this is important and I need you to complete the task I have asked you to do." By helping other she could avoid situations of confrontation and still get required tasks completed. Kathy did say that if absolutely necessary she would become confrontational but she recognized this was very hard for herself.

When implementing change Kathy contemplated ahead of time how the change could affect others. She thought about the person who would be the most affected by a change and tried to meet with them ahead of time and discuss the change.

> Because everybody has their own agenda, everybody has their way of doing things. I think part of what I do is I reflect a lot on how it could be perceived. How is this going to look? Who might be the person who is going to be most affected? Who's going to be the person that is going to feel most slighted by it?

By considering who would be most affected by the change and possibly most resistant, Kathy could meet with them ahead of time and offer further rationale and support. She also tried to show staff the rationale for the change by relating the change to a problem that existed.

> So I think that is one way to ensure success and I mentioned before that I try and make a tradeoff or I try and let people see why it's good for them and I do that by trying to draw on something that they have told me that has been a problem.

If Kathy knew a teacher had been having difficulties she would meet with that teacher ahead of time and suggest how the change could improve the situation. She believed that if people were unhappy with a situation, they had to be willing to try new ideas to improve on the existing situation. She gave the example of a Balanced Literacy

Program in her school. Since the teachers were stating that the grade ones were coming in with low literacy skills, they had to be ready to try such a program that would improve their skills.

Another technique Kathy used for dealing with resistors was asking them for an alternative solution. "Because you can't just say 'No,' you got to have a solution, because if you say 'No,' you're not solving anything.... Tell me what you want and what you need." She expected that the staff would give another solution or an alternative to make the change work. So if staff members did not think a proposed plan would work, she asked them what they would rather do or how the plan could be modified to work better. She expected that if a solution was given, that the solution would still be in the best interest of the students. Again if people were not supportive, Kathy believed in "speaking from the heart and telling them why it was important." She said there was compromise involved and she heard and considered the input and opinions of others. She described the difficulty principals face when they must implement a district change that others do not support. In these cases she tried to explain the change and the rationale as best as possible. It was necessary to be there to support the staff during the time of change. She said offering support was hard but it was her job to go with the district decision.

There was an incident whereby Kathy wanted to implement a change and it did not go as well as she would have liked. She had tried to include staff professional development reports at monthly staff meetings. She had wanted to implement this for various reasons. "It really bumps up the accountability of the person who has taken the day off to go and do something. And gives us a chance to learn about and listen to somebody else." Unfortunately the school did not have early dismissals for staff meetings and the staff meetings already went very late. Kathy decided she would not implement the professional development reports that year. Kathy was trying to rework the change and she asked other colleagues for advice to try and find a way to make it successful. She attempted to find a solution so that she could implement this change successfully the following year because she believed it was really valuable. She was hoping to convince the staff that it was important so perhaps they would give up some lunch hour time to carry out these sessions. Kathy said she could force the teachers to stay and enforce required teaching hours but felt, "again is that something you do in your first year or do you try and get people sort of on board and then say this is valuable?" Rather than push the change and build resentment Kathy was waiting to try and implement the change again when she had teacher support. If a change was something she really believed in she did not give up on it because it did not work the first time.

The key to making change, in Kathy's opinion, was to decide if the change was really important and why it was so important. If it was something she truly believed in then she needed to stand up for it and try and implement the change.

> I think people need to sit back and decide. Is it important? Is it important to me? And then why is it important to me? If it's important to you for the right reasons, and I always say for my school, for my kids, then you die on that mountain.

If a change was really necessary Kathy thought she stood by the change and showed others why it was so important. Eventually other would accept the change when they saw the benefits of it. Kathy believed if a person made changes they did not believe in and if they tried to change everything, the purpose would be lost. " But if you try and change everything, if you try to fight everything, if you try and fix everything; I think the message that you give to your staff is you don't have a vision." Kathy felt that people needed to feel that she believed in her changes and that she was doing them for the right reasons; because the changes are needed to reach the schools goals and visions. She noted that the principal was the fortunate person who decided which changes would lead to the best education for the students. "But that's the very best thing about being a principal, that's why I became a principal; because I wanted what I thought was important to kids to be what a school was about." Kathy believed that principals have the power to affect meaningful change for their schools.

Betty's Story

Betty was a relative newcomer to the principalship. She started as principal of her school near the end of August the previous school year. She was an assistant principal and a curriculum coordinator before transferring to her current position. Betty has taught at all grade levels including teaching high school night courses to adults. Betty's school was an elementary school with about 250 students. It was over twenty years old but has been well maintained. The clientele for the school were primarily upper middle class although there was also subsidized housing in the area. Betty's staff was at various stages in their teaching careers. Some teachers were near the end of their teaching career, while others were new to the teaching profession. Betty appeared to have a good rapport with the teachers on staff and described them as "absolutely wonderful." Betty initially was overwhelmed with the new responsibilities as a principal but was becoming more confident in her role and in her skills.

Because Betty was new to the principalship last year, this was the first year where she had made significant changes to her school. In her first year she made few changes while she got to know the staff in her school and she commented, "You just have to listen and find your way around." The first year she was in the school she did not know the staff well enough to make major changes successfully. This year she began to implement changes, however most of the changes made were primarily procedural and organizational changes.

> I added a student council, we added some lunch patrols, somewhat changed the assemblies in that they are more student run. We took away things like family groupings because the kids didn't like them, all kinds of little things. Last year we did some focusing on a few things, again adding the Balanced Literacy program. It was here but we've extended it, so that's another change.

At the time I conducted both interviews the staff were working through their three-year plans and "refocusing." During the past three years they have been focusing on writing and they were going to maintain that focus while also building on other areas. Through the process of discussing areas they wished to change, the staff decided to implement a Balanced Literacy program at the grade three level. They also decided many organizational changes due to timetabling and changes in hours for kindergarten needed to occur. The staff was also trying to restructure the classes so that class sizes and combined classes could be reduced. The changes that Betty and her staff would be implementing for the next year were primarily organizational. She was beginning to make other major changes like the implementation of Character Education for the following year. Betty described other changes she wanted to make and said that she was not as good a change agent as she would have liked for changes require time and experience to complete successfully. Betty discussed many little changes that she had also instigated. One of the changes was the report cards. These were made easier to complete because she felt report cards were such a stress on teachers that making them easier to do would eliminate some of their stress level. The frequency and the content of newsletters were also changed. She lessened both to make the workload easier for the staff. Many of the changes Betty instigated were because she recognized a problem the staff were facing or had thought of a way to make things easier for the staff. When making decisions Betty "Looked at everything, you have got to look at wellness of people too." She felt it was important that her staff not become "stressed." She constantly considered ways of eliminating stresses teachers felt.

Changes in the school behavioral plan Betty also implemented. To make this change she discussed the previous behavior plan with staff and asked what changes they would like to make. She received input on areas of the plan that were working and also areas that staff wished to change. She devised a draft plan that she had used from another school and asked one teacher for input and then made revisions. She then asked the staff their opinion on the plan as to whether they liked it or not. Once input was received the final draft of the behavioral plan was put in place.

Betty expressed changes she would like to make but could not because of monetary reasons. She said most physical changes required money and they could not be made unless that money was available. Even though, as the leader of the school, she would have liked to make changes, she was often unable to do so due to budget constraints. "But what will affect change, I think more then anything next year, is our budget." Many of the programs the school ran cost money and could not continue if there was not enough money in the budget to do so. Also making changes by adding new programs would also require additional funding which would not be available.

To implement change, Betty used various strategies. She asked others for their input. This included input from parents, staff, and students to find out how others felt regarding the change. Input from the stakeholders was very important in Betty's opinion. She conducted surveys with parents and students to gain their input on areas of change they would like for the new school budget plan. She says she has kept the ideas from others and, "It doesn't necessarily mean we have to go that way," but the input of others was considered in the decision. Teachers were also asked for their input. When asking for teacher input Betty asked the teachers what they thought worked well in the school in the past and about those things that did not worked well. They also examined the previous success of the school. If things had failed in the past they tried to change them.

They would analyze things such as past achievement marks to find areas that needed improvement. When there was a problem in the school, for example, the way misbehaviors at recess were dealt with, the staff would hold a collaborative talk to try and find a solution to the problem. The collaboration involved brainstorming for ideas and group problem solving. Collaboration was a key to changes because the others would not agree on the solution if they have not helped solve the problem: "Collaboration of the staff, there's no problems being solved if they are not on side." Betty thought it was important to have others onside and working together to solve problems. Others must share similar opinions on the best way to handle problems. Betty gave the example of students coming in unsupervised with their boots on and tracking dirt throughout the school. She said the staff met to discuss this problem and they "Did collaborate and talk about what made most sense." They were able to solve the problem more easily because everyone realized there was a problem. "Now if everybody had a different opinion, that there wasn't a problem, then one person did this and then we would have a problem, but we all just talked it out together." The staff could collaborate because they agreed there was an issue that needed solving. When the staff tried to solve the problem, the teachers had different solutions. But they were able to find a compromise and stick to it because "There is a common goal, because everybody had noticed there was something wrong." Having a common goal allowed everyone to collaborate and find a workable solution to the problem.

A concern when involving stakeholders was that they might not know all the information. "I find sometimes the stakeholders do not have the global picture for a lot of major changes that you do." Others saw the change from their own perspective and did not realize other facets of the change. Being up front and honest helped others see the global picture. She said that sometimes research or explanations were needed to explain the rationale behind the change. For instance if she explained to parents or students why a change was implemented or needed, they may be more supportive of the change. Betty commented that the stakeholders could be asked to provide input regarding change but ultimately any change was up to her to make because she had more information on what change would be best for the majority of the students in the school.

To monitor collaborative efforts Betty joined most of the committees herself. By doing so she was constantly monitoring and she knows what was occurring on the various committees. Staff members also reported back to her. When a staff member was in charge of a committee they discussed what was occurring at the meetings. For example, when the school changed its behavioral plan they formed a committee of three people including Betty. One of the staff members took over and they had two meetings with the staff to obtain their opinions. Once this was completed she reported back to the principal on what the staff had decided to do. Another change was the splitting of the kindergarten class. After this change had been completed Betty monitored it by visiting the classroom and seeing how the change was working. She also asked parents for their input on the new change. Both of these Betty described as "informal monitoring." Betty also started using a tracking system to monitor student achievement. She especially wanted to keep track of the students who were at-risk in the school.

She felt that change had to occur slowly. As leader, she could not make changes rapidly without consulting others. Betty felt that if she made changes quickly and all at once, others would reject the change. Change must be done slowly because people do not like change. Time was often needed to accept changes. Betty felt changes must sometime be made little by little, again requiring time. "But you just don't want to implement them (changes) full, gung ho, and say this is the way it is going to be: because then you know they won't." Time was also required to receive full staff commitment. Part of change was attitudinal and attitudinal changes required time. People do not change thinking and beliefs overnight, but rather over an extended period of time.

A concern Betty had was that others were not always in favor of the changes she had brought in. She felt it was hard but she had to learn she could not please everyone. " I found out in this job, you are not liked for everything you do all the time and that's tough." Even when Betty asked others for their opinions and their input she still found there were times they were not in support of the final change. She said changes were ultimately her decision to make and therefore she must do what she thought was best. She tried to remember that the changes she had made were because she thought they would be best for the students. She was working on dealing with the fact that others still may oppose her but she needed to stand by her own beliefs.

At times the culture may not change. Betty gave the example of communication. "I started a little pink book here for communication and it didn't work here, they didn't like it. So I went back to the principal's old staff memos, and right away it works fine." A change would not be implemented because the staff culture or attitudes did not change. The staff often liked to keep things the same way. Betty had no problem going back to the previous format. She said it was important that the staff were up front and told her when there was a problem. As a leader she also needed to be able to take constructive criticism and listen to the staff. In this case it was easier to go back to the old format that the staff was used to then to try and create a change that did not fit into the familiar pattern people liked.

Betty described changes she had made that did not go as planned and with which she was uncomfortable. In one case she had hired a new staff member and it had not worked out as effectively as she would have liked. "I had to talk to her many times about my expectations. I have learned to deal with it and I have learned to accept it and I have learned to be a lot stronger in my convictions of what I tell her to do." This change has been difficult for Betty but there was little she could do without interrupting instruction. She was trying to make sure she remained firm in her expectations and passed these on to the new teacher. Despite the fact that this change did not work out as anticipated, it proved to be a learning experience for Betty. Another change she was uncomfortable with was dealing with criticism. She said as a "people person," it was hard to take the criticism of others. "I guess you have to learn to really take constructive criticism. If you want to make a change and somebody does not like it, you have got to say well you looked at the factors." As a principal it was hard to implement changes that others criticize. It was important to explain her rationale to minimize this criticism.

Betty felt that one area she needed to change was creating a vision for the school. She said, "You do need a vision. I think we do but we haven't articulated it yet together." The school had what Betty called, "Wonderful goals and plans," but she felt they did need to create a shared vision. A shared vision would make Betty a more effective change agent. "We are going to refocus what we do, because there has to be a goal." The problem was that the school was generally running smoothly and the staff did not see a reason to change. Betty's philosophy was, there is always room for growth. With a vision or goal in place, the staff would be more receptive to change and realize that change would take them where they wanted to go as a school. Betty was planning on using a Professional Development day and a Backwards Mapping Exercise to create a shared vision. The staff decided that they would complete the visioning process the following year. Since the staff was implementing a Character Education program in the next school year, the visioning process would be completed in conjunction with this program change. Betty did have a personal vision for the school. Her vision was: "I want the kids to come out of here with academic skills and the attitudes and knowledge they need to continue in school. I want the kids to be effective citizens. I want them to learn how to contribute to the community." "And to be life long learners and to be responsible and accountable for their learning." She felt that as she was in the school longer, her vision was becoming more "embedded" in the school. The vision that she holds was basically the same as the vision the rest of the staff had. "And I would say our whole staff basically has that same vision. This is where we want to go. So I don't think we would have trouble, it would be the semantics of the wording." Betty believed that when the staff did attempt to set a vision for the school, the process would be relatively simple because the staff all shared similar beliefs and philosophies.

A vision was necessary to create change because it provided the rationale. "Because if you don't see that you need change of any type, you won't do it. There's got to be some reason for it." Betty gave the example of their "ultimate goal" to "improve student achievement." "You've got to see that student achievement can be improved or you can do different methods, if you don't see that, if you don't have a goal saying the direction you are going into, it's not going to happen." Once the staff members believed they could improve student achievement, they were willing to change and try new programs or initiatives to improve performance. In Betty's school they had a Balanced Literacy program in place when she arrived. The program was effective and they were seeing improvement at the grade one and grade two levels. They decided to expand the program to the grade three level. Because the grade three teacher knew the other teachers liked the program and it had proven to be effective, she started the program with her students. She had seen the change's effectiveness so she was willing to try the program with her own class. "But just to go tell her, 'This is your program, you're doing it,' and plunking her in it. Why is she doing that? Now she's doing it because we had decided as a school to do it. She's doing it because there are changes in student achievement." Change was futile without a goal in mind or a reason for implementing the change in the first place.

I asked Betty how she, as principal of her school, made the school reflect the values and beliefs that she held. Her reply was:

> It starts with the leader, they have the values and beliefs and you expound that to your staff. And you show them where you're at and you support your staff with most of their decisions because you respect them also as professionals. And I would say here for the most part, and most staffs that I have ever been in, that the values and beliefs come from the top. If you see that person with the values and beliefs and how they are working with people and how they are helping kids, then they will follow. You have to model it too, all the time.

Betty believed that as the principal she was responsible for passing the values she possessed onto the staff. Betty modeled what these values meant and passed down these values. She also encouraged the staff to "see different viewpoints" to broaden their own attitudes and beliefs. Betty's basic "values and beliefs are that they are professionals and if they treat the kids with respect and the kids are learning," she did not interfere. As teachers and as the principal, they also modeled their values and beliefs for the students. Her goals were, "that our own values and beliefs in things like accountability, responsibility, respect for others, are modeled for the kids to see also." By modeling her values and beliefs, these could be passed on to the staff and students in the school.

There were also some existing attitudes at her school that Betty was trying to change. The first attitude she was hoping to impact was making the staff more positive. She admitted that the teachers did have a stressful job but she wanted to encourage them to remember the priority in the school that they "are, number one, here for kids and that we do the best we can." By recognizing the real reason they were in the school, Betty hoped the staff would develop a more positive attitude. She regularly reminded them of the reason they were in the school and asked them to reflect on "what they were doing" to create a more positive atmosphere. The second attitude Betty tried to change was she wanted her staff to "find a balance in life." Some of the teacher's entire lives focused on the school. By achieving a balance in life, they would become less stressed out and become more effective teachers There was one teacher who had some individual attitudes that Betty also wanted to change. She explained that this teacher "won't go above or beyond anything," and "her attitude towards parents too. I mean, you have got to work with parents, so you've got to be positive and upbeat all the time." Betty expressed that changing attitudes particularly in this case could be very difficult. "Sometimes that attitude is so embedded in that personality, it is difficult to change." It was worth trying to change these attitudes because they were what Betty believed in and they were also attitude changes that would improve the school's learning environment.

Betty believed that everything mixed together so a change in one area may lead to a change in another area. The exmple she cited was, "If you focus on writing, so that brings you into curriculum aligment, and that brings you into assessment." When the school started to make changes in the area of writing it led to changes in other curriculum areas. Another example was the changes to the school's recess policy ended up changing the "atmosphere and the culture in the building." As the recess policy changed and the student interactions at recess become more positive, a more positive atmosphere in the entire school was created. She also discussed when the school changed their format for the newsletters: "If you change the format of the newsletter, that change then affects how much you're writing about curriculum expectations. That change affects the attitude the parents have." The parents had a better understanding of curriculum expectations when expectations became a focus of the newsletter. Anytime a major change was made in the school it led to changes in other areas. Minor changes did not lead to changes in other areas because they impacted on fewer areas of the school, however larger changes always led to changes in other areas.

An atmosphere with a greater willingness to change was created by "open, honest communication." This meant the staff needed to tell Betty if there was a problem or there was something they did not like. The same thing applied to Betty, she also told staff if something happened that she did not like. Telling staff when she had an issue to discuss was something Betty felt she needed to work on. She said, "You should be light when criticizing others." Betty also thought it was important to listen to the concerns of others and "what they have to share" on a topic. The staff needed to feel that they had been listened to and even if Betty did not implement their ideas, they needed to feel they had been heard. Betty said that if "You just ignore it then they are not going to trust you at all." Others had to feel that if they came to Betty with a concern or an idea that it would not just be ignored but it would actually be heard. Betty also needed to act as a "humanitarian" and treat others with respect. All problems were dealt with confidentially. She reminded herself that there was more than one way of doing things and that the teachers were "professionals." They needed to be treated as such. To achieve trust she followed through with what she said she was going to do. When a situation arose where she could not follow through she felt she needed to be completely honest with her staff and explain what had happened. A small school staff also created closeness and a more trusting atmosphere in Betty's opinion. In her school they were "jelling as a staff and having good staff room discussions." Betty expressed a concern that a small staff can also become divided. Fortunately this had not happened in her school.

I asked Betty if she thought the number of years of experience a teacher had contributed to their willingness to change. She believed this could happen because younger teachers have more "enthusiasm" and are willing to try new things. More experienced teachers have a tendency to become " more set in their ways." Fortunately on her staff they were all willing to change and try new things. Betty felt the larger issue was not one of experience, but rather one of personality:

> But I think it all depends on the personality of the person whether they are young or old, whether they are set in their ways. You know there are people. I'm old and I am willing to change, but that's me. Where as you might find somebody else that is my age, that's done things that way, and there is no way they are going to change. So a lot of it is mindset, not necessarily age.

Betty felt that willingness to change was more a factor of personality than experience. In order to get others to change it was necessary for them to see the benefits of the change.

Others were more willing to change if they were able to see the changes. People needed the sense that something new was working rather than just having a new idea thrust upon them: "The other thing is they have to see it." One of the best catalysts for change was if people could see the change working effectively in another setting or situation. She gave the example of a group of teachers who had gone to a school that used multiple intelligences as a framework for teaching. When they saw the high quality of the work that the students were producing they became very exited. They brought the change back to the others on staff and drew them in very easily. It was easy to accept the change when they could see it working in practice.

I inquired if a new principal in a school makes changes differently than a principal who has been in the school for a number of years. Betty replied that as a new principal in a school, she implemented very few changes. "Basically I sat back and listened and learned, because if you come in with all this power and authoritarian, and you're going to create change, you'll have a riot on your hands. You'll have nobody that wants to do it." As a new principal she could not make very many changes successfully until she took the time to get to know the teachers and staff in the school. She had to learn what the atmosphere of the school was like and to what ideas or changes the staff would be resistant. The staff in her school did anticipate changes when she arrived. "As a first year principal I think they are a little more accepting of you making change because you are a different person." They understood that when there was a new person and personality in the leadership role changes were bound to occur. An experienced principal could have problems implementing change, she explained:

> In your fifth year, the problem with creating change is you are used to doing things the way they are. If it's not broke don't fix it year after year. It is probably easier because you know the staff and which direction they are going to go by doing change, if you are a little more experienced. You'll know which people don't like change you'll know how to effectively help them with the changes.

Betty thought bringing about change had both positive and negative sides for the experienced principal. On the one hand, the principal and the staff became complacent and did not want to change because things were running smoothly. On the other hand, when one does decide to implement change it could be easier because you know the staff and their expectations. She felt a principal could predict who may have difficulty with the change and deal with that person on an individual basis. Overall, Betty indicated that it was situational, regardless of the years of experience the principal had in the school. "So implementing it I really think depends on the staff, whether it's your first year or your fifth year." New staff members made it easier to implement changes. Staff that have been in a school for a long time get used to doing things a certain way and were more resistant to change. Betty said that when she arrived at the school she made few, minor changes. "We could make minor changes. We did, like I said we did change some discipline policy plans, I did change some procedural things that they do at the office, those type of things." One reason for this, other than getting to know people, was that many programs were already in place in the school. These programs needed to continue, as the school was "right in the middle" of them. Another reason that major changes were not made was that the school district does planning on a three-year cycle. This planning was tied into the budget. A new principal could not instigate major changes that would require budget changes since the budget was set in three-year increments.

When I asked Betty how she dealt with resistance to change, she replied, "You always need resistors, it's good for you. It does, you know! Resistance is good because it makes you look at some things." Resistance could be helpful rather than harmful, because it showed Betty the areas that she needed to reconsider. Betty commented that resistors "Do make you stop and reflect if what you're doing is what you should be doing. They do make you stop and question things that you might want to reflect on again." Maybe the person who was resisting the change had legitimate reasons for resisting; perhaps they had a concern that Betty has missed in the process of bringing about change.

> They make you reflect about what you are doing and make you think back. Sometimes you go gung ho on something and all of the sudden you don't think

> about these other things. Whereas they bring up a different viewpoint.

Betty compared it to needing "opposing people in government." At times an opposing view was needed so she could see the other side of the issue and make the change process more effective. Betty was also concerned about the negative side to resistors because she said while you are trying to "bring them along inch by inch" they could be very "negative." If the resistors were always negative and "nitpicking" at ideas they could harm the change process by bringing a negative attitude towards new ideas. This negativity could affect how others viewed a change or new idea.

Betty offered the following advice on implementing change. The first point was having a clear vision and articulating it clearly to your staff. The staff should arrive at the vision in a joint process to reach their common goals. "If I came in here and dictated my vision that would not let us grow together and make a vision." Betty believed change was created when all the staff members sensed a need for change in order to reach the vision they had set. There also had to be a rationale driving the change. "You have got to see a need for the change too, there has got to be a reason to change." Betty changed the bussing zone in front of her school because the zone was dangerous due to heavy traffic flow. She saw a need and then implemented a change to solve the problem. Her final piece of advice was that creating urgency causes change to occur. " If there is an urgency that all of a sudden my achievement marks went down twenty percent there is an urgency isn't there? Something has gone wrong. So if you can sometimes create a crisis." In a crisis situation something needed to change quickly to resolve the situation.

Overall, Betty has begun to make many changes in her school. More changes will be made as time goes on and Betty becomes more familiar with the school and the staff. She has started to make changes so that the school more closely matches her goals for the school. She has started to become more effective as a change agent and will become a stronger change agent as time goes on.

Thematic Findings

I read over the transcripts numerous times and attempted to identify what was important about the change process from the participant's stories. Three themes emerged from the readings: relationships with staff, need for change, and working through others. In some ways, these themes all affected how change occurred.

Relationships With Staff

The change process was affected by the relationship the principal had with her staff. How well the principal knew her staff affected the change process. In each school it was necessary for each principal to get to know the staff, the staff's goals and their beliefs about education before meaningful changes could be made. Time was taken when each principal arrived to get to know each staff member personally. The participants also believed it was helpful whenever possible to predict how others would react to the change process. This was accomplished by knowing the staff and how changes would affect them. Kathy tried to find the person who would be most affected by the change and talk to that person ahead of time so a smoother transition could be made. Susan was able to identify in advance how others would react to certain changes. Knowing how others would react to a change decreased resistance to change. Because Betty was new to the school and did not know her staff as well, the relationship that existed was more guarded. In this case she was reluctant to make major changes until she knew how her staff would react to change.

Change was also affected by the type of relationship the principal had with the staff members. A more open, trusting relationship leads to greater acceptance of change. As Susan had a more open relationship with her staff and knew the staff on a personal level, they were more accepting of change. Kathy felt that she was still working on building a trusting relationship with her staff and that she needed to accomplish this before she instigated major changes. Betty also wanted to increase the closeness she felt with her staff before large changes were made.

Kathy described how she used her school secretaries to introduce her to others in the school and as a source to help get to know others and also how others would react to the change process. Kathy explained that, "I have a secretary that, that you know, I can confide in and kind of get some support being there for a long time so she gives me insight into people." Not only did she confide in her secretary she was also a person Kathy could go to and she would help Kathy gauge how others would react to change.

The ability of the principal to instigate change was very much dependent on the school staff and the atmosphere that existed amongst the staff. A staff that gets along with one another is more supportive of each other during the difficulties that accompany the change process. In Susan's school the atmosphere amongst the staff was very collegial and "Like minded," they were trying to reach similar goals. Because of the close relationship that existed, changes were readily accepted. Everyone on staff saw the same direction for the school so changes were made to reach this direction. There was little opposition to change because everyone saw the changes as beneficial and something that the school needed. In Kathy's school the staff usually got along, however they saw different goals and directions for the school. Because of these differences, the changes were affected. Most of the changes were smaller changes that would eventually lead to the staff having a similar attitude about education. Kathy recognized that before major changes could occur, the staff would need to form a more cohesive attitude about education. A staff that did not share the same goals had different ideas about what changes should be brought about to better the school. In the future Betty was going to get her staff to reach a common vision. By holding a common vision the staff would have similar goals for the school. Changes could then be initiated to reach the common goals.

The importance of timing when instigating change was another theme that emerged from the interview data. The participants shared the idea that a new principal in a school should not make changes right away but rather take the time to get to know others before instigating change. All the principals felt that if as a new principal in their school, they had made large changes immediately, the teachers would have rebelled. Time is needed for the principals to get to know the staff members and the operation of the school before large changes can be made. The status quo should be maintained until the staff members are comfortable with the new principal. Although she supported the above idea, Kathy did offer an alternative viewpoint. She felt that when a new principal arrived in a school others would expect change. Because change was expected, others may be supportive of changes instigated during this time.

Finally the leadership style of each principal affected the change process. Each principal had their own leadership style and this leadership style affected their relationship with staff members. In some cases the principals were more comfortable delegating authority and decisions to others and in other cases the principal wanted to make most major changes herself. The importance was not in the leadership style itself, but rather in recognizing which style they possessed. Each of the participants discussed their own particular leadership style and how it affected their relationships with their staff. Susan liked to have an open relationship with her staff, "I think my perceptions are right that staff don't see me as someone who's dictatorial, and throws their weight around. I consult with them." Kathy wanted to build "trust" and "respect" into the school while modeling the type of school she wanted. Her leadership style also meant involving others in the change process. In Betty's school she liked to be involved in major changes herself but she wanted the staff to grow together as they went through the change process as a group. The upcoming visioning activity she had planned would coincide with her style of involving others in the change process.

Understanding the Need for Change

All of the principals I interviewed felt the importance of seeing a need to change. They all tried to raise the consciousness of staff that change was actually needed. Kathy discussed many instances whereby she was attempting to change the attitudes amongst her staff. She wanted them to become less complacent and realize that there was always room for growth and improvements. Betty also believed there were always improvements that could be made in the school and thus change was constantly required. In Susan's school she felt the staff were all on the same level of consciousness regarding change. All the staff members saw change as a necessity to solve the problems the school was facing.

The changes they made were most successful and accepted when there was an actual need for the change. These principals expressed the importance of not changing for the sake of change, but rather making changes because an actual need existed. Once they arrived in their schools, each of the principals began to see areas where they felt change was necessary. When the need for change was evident, change was instigated to help the school reach its goals or to solve problems. Susan expressed the need for not "jumping on bandwagons." She felt we often make changes in education because others are making the same changes. Instead change need to be instigated because it will solve an existing problem in a school or because it will help the school reach its goals.

All three principals also expressed the idea that if others could see the need for change, they would be more supportive of the change. Not only does the principal need to see a reason for the change; others in the school must also see the rationale for the change. The principals in my study said that when others saw the reason behind a change they were less resistant and more accepting of change. Part of their roles as educational leaders was to get the staff members to accept the rationale for a given change and garner support for a change.

In understanding the need for change the principals in my study also discussed that change must be considered in light of other changes that have occurred. All three principals agreed that change does not occur in a vacuum and that change in one area of the school affects other areas of the school. Susan discussed how changes with the Character Education program would lead to positive changes in student achievement. She also thought that Curriculum Alignment in one subject would lead to changes in the other subjects. Betty said that all changes "affect the other" (changes). Kathy concluded that, "I think that once they start to look at things a little bit differently, they start to think about what they're doing in the classroom as well that's different." Any time a change was planned it was necessary to consider how the change could affect other aspects of the school.

Working Through Others

The participants recognized that they were unable to make changes without working through others. The others in the school affected the change process and therefore needed to be considered throughout the change process. All of the principals discussed the notion of modeling their own beliefs for others. As educational leader in their respective schools, it was the principal's job to model certain beliefs for the other staff members. Kathy modeled her beliefs by "walking the talk" and always being willing to do the same things she asked others to do. Susan modeled her beliefs to her staff by always treating others in the same way she would like to be treated. Betty tried to model to her staff and students to ensure that her students became the type of students she wished them to become.

Each of the three principals possessed a personal vision for her school. They each had a direction they saw for their school and certain goals they wanted to accomplish. Rather than set a common vision with their staff as suggested in the change literature; they used their own personal visions to guide the school. When they arrived at their schools as new principals they each began to mold their school to fit their own visions. They began by redecorating their offices and making minor procedural changes so the schools would become a reflection of their own beliefs. The major changes they were making also tied into their personal visions of what a school should be. They instigated changes such as character education, attitudinal changes, and curriculum alignment so their schools would better reflect what they envisioned as the ideal school. Betty was somewhat of an anomaly to the above theme. She did make changes initially so the school would better reflect her own personal vision; however, she wanted to set a common vision statement with her staff so they were all working towards a common goal. She planned to set the collective vision at the start of the next school year.

These principals felt that they could not make all the changes, successfully alone. Each of them delegated various responsibilities to their staff. Once it was decided that a change would occur, the principals often set up committees that would complete various steps of the change process. These committees ensured that others were part of the change process. Betty was usually on these committees herself so she knew exactly what was happening on each committee. Susan and Kathy were not usually on the committees but rather entrusted others with the responsibility of running these committees and making sure that change occurred as planned. All three participants felt it was necessary to involve others in the change process so that the staff would be more supportive of the change. Once others were involved in the change process, they felt a certain "ownership" of the change and therefore wanted the change to become successful. Kathy expressed the difference between "delegating responsibility" and "empowering others." She tried to empower her staff by letting them make changes and decisions regarding the daily running of the school.

Each of the participants also delegated responsibility to their staff members by allowing others to be part of the decision making process. They asked teachers for their opinions and often would use group consensus in decision making to decide which changes should occur. They valued the opinions of others and took their opinions into account even when the principal made decisions alone. By including others and accepting the opinions of others, the principals felt they build a more positive atmosphere in their schools and also schools in which teacher opinions were important.

At times during the change process others in the school offered varying degrees of support. They may be resistant to changes at certain times and this resistance became a central problem the principals had to face. The resistance to change could be positive in that it showed the principals areas of the change that needed to be reconsidered or examined again. Resistance may also show the principals potential problems that could arise in the future if the change was instigated as originally planned. They may offer a different viewpoint that was not originally considered. Susan thought that "sometimes what you want to do is get the real nay-sayers on board. Because once they come on board, they will be even more powerful in convincing the others." If she could convince others who originally opposed an idea to support it, she would gain very supportive allies. On the other hand resistance could be detrimental to the change process in that resistors caused others to think of a change in a negative way rather than look at the positive side of a new idea. Betty thought resistors could be "nitpicking," and critical of the change. Susan believed it was necessary to gain the support of the people who did not support a change. Often "their own colleagues will sort of convince them to come around." To run a successful organization, Susan thought, she needed a "cohesive sense of working together" and disagreement should be rare.

Chapter 4

THEMES IN RELATION TO LITERATURE

When comparing the literature findings to what actually occurs in practice, many similarities are found. Much of what the literature advocates that principals should do during the change process actually occurs in the schools of the three principals I interviewed. As the change process cannot be definitely defined and will vary depending on the context, there were variations in the three schools. However all three participants used strategies discussed in the literature a great deal of the time. As the principals were becoming more familiar with their schools and their role as principal they were finding their own personal fit and discovering which strategies worked best for themselves and their staff. In this chapter I will examine the themes of relationships with staff, understanding the need for change and working through others and compare these to the literature findings.

Relationships With Staff Members

While conducting a review of the literature it became apparent that the relationships principals had with their staff members affected the change process. Evans (1996) and Short and Greer (1997) advocated building a trusting atmosphere amongst the staff. The principals I interviewed tried to build strong interpersonal relationships with their staff. Many techniques were used to do this. Kathy said, "You have show them that you are on side and that there is a level of trust." She also said she is "walking the talk" and taking turns doing the same thing she expects from her teachers. Leithwood and Montgomery (1986) theorized that part of building a positive environment is being part of the team who does the same things that the staff are expected to do. Kathy believed it was easier for the teachers to try and do something for her when they see she participates in the activities with her staff. Kathy also thought teachers need to feel that they have been listened to. Another important environmental component is recognizing and appreciating the efforts of the teachers (Leithwood and Montgomery, 1996; Evans, 1996). Kathy consistently tried to honor the efforts of others.

> But just to let them know that I appreciate the efforts they are doing now and again if it's good for kids then I'll mention it. And we have this warm fuzzy part at the beginning of our staff meetings where we thank people or we mention things that people have done that have been above and beyond. Certainly held their efforts up high, put it in newsletters things like that, so that they knew that even though they thought that maybe their card club wasn't a big deal, it was mentioned in the newsletter as being very successful.

Hord (2000) discussed the importance of having open communication to build a positive atmosphere. Betty created an atmosphere that would lead to change by having "open, honest communication." She discusses problems or things she does not like with her staff and she expects them to do the same. Susan also evokes honest communication with her "no surprises rule." She keeps teachers informed and expects them to offer her the same courtesy. If a parent is angry with a teacher she will tell them. She also believes in "not mincing words," but rather in being honest and direct regarding issues that need to be addressed. Leithwood and Montgomery (1996) believe in being positive with teachers and communicating that all problems can be solved. Susan follows the same philosophy.

> Part of that [the atmosphere] is also that nothing that happens in this building: any screw up, any mistake a person makes, whether it be a staff member or a student. There is virtually nothing that is life threatening, that's my philosophy; it can always be fixed.

Susan feels this philosophy contributes to the atmosphere. She adds to it by helping teachers solve problems that need fixing.

Change is more likely to occur in an atmosphere where risk taking is encouraged. Many effective leaders encourage risk-taking. They let their staff know it is okay to try new ideas and to make mistakes. Others are encouraged to take risks, yet they still feel safe and supported. In order for an organization to change the leader has to be proactive and instill the same attitude in others (Méndez-Morse, 2000). Susan encouraged risk-taking with her staff. She was not afraid to try new innovations. If a new idea did not work out according to plan, she would tell teachers that it had not worked and asked what they thought they should do instead. She recognized it was all right to fail and not be right all of the time. Trying out ideas was more important than one hundred percent success at all times.

Kita (1994) and Guffey, Rampp, and Masters (1999) both believe a principal needs to visit classrooms regularly to create a positive atmosphere. Each of the administrators in my study visited classrooms regularly. They visit rooms so they can talk informally with teachers, assist teachers and also to monitor what is occurring in the classrooms. Kathy gave this example:

> And I'm out in classrooms a lot and I think that shows that I respect their work and being able to talk to them a little bit about it or if it looks like they've been uncomfortable when I've been in the classroom, we'll joke about it.

Being in the classrooms helps build an atmosphere of trust and it also shows teachers that the principal respects what they do.

Having a sense of humor also creates an atmosphere where change can occur (Kita, 1994; Leithwood and Montgomery, 1986; Hord, 2000). Susan described her school as follows: "We have a good atmosphere. We have a lot of laughing and joking." Kathy discussed examples of incidents where she and a staff member joked about events that had happened. By joking with the teachers it allows them to feel more comfortable. Betty encouraged positive interactions in the staff room and wanted her teachers to be positive and discuss things other than teaching so they could find a balance in life.

Leithwood and Montgomery (1996) and Evans (1996) feel respect is also important. These administrators all had tremendous respect for their staff and tried to express it often. Betty stated, "I respect each of my staff as professionals and I think that makes a big difference too. You know they are professionals." She visits classrooms often but does not 'nitpick,' at the things the teachers are doing. She respects that as professionals, each teacher will use his or her own teaching strategies. Susan shows respect for her teachers by asking for their input and when she does makes decisions she listens to and considers the feedback she receives from others. Both Susan and Kathy discussed issues where they themselves were not totally in favor of changes that were made but they supported them because there was a majority who agreed with the decision. Susan supported the student decision to continue with graduation after money was stolen and said by supporting them she received "more respect." Kathy explained that when possible she allowed teachers to make decisions and vote on issues. In some cases she refrained from voted and supported whatever outcome arose from the staff vote. Fleming (2000) feels trust and respect is increased when a leader allows staff to reach decisions and supports them even if it is not the same decision, they as the leader would have made. Teachers feel trusted and respected when they are allowed to make decisions and gain the principal's support.

Sergiovanni (1991) and Short and Greer (1997) are in favor of making sure change reflects and fits in with the existing school culture. When Susan implemented character education she believed it would fit into the school culture because it was not that "different from what teachers were already doing." Now the school has a "formalized" system to deal with student behavior. The change fits because it is close to what the school was doing in the past. Kathy made some changes that do not fit the culture of her school, as her goal is to modify the culture and attitudes in her school. Because she knows changing the culture will require a great deal of time she is implementing change very slowly and using "little changes that she knows the staff will be successful with." She understands that if she tried to make changes that do not match the school culture, these changes would be unsuccessful. Many of the changes Betty is implementing fit into the culture of the school. Many of the changes in the school focus on reading and literacy. These were goals of the school before Betty arrived and they fit into the philosophy that the staff shares. Betty did not make as many changes as she would have liked when she arrived at the school because there were many projects that were ongoing in the school. It was necessary to continue these projects and preserve the existing culture of the school. By asking the teachers for their input, Betty gains assurance that others support the changes and that they fit into the existing school culture.

Timing is crucial to making the change process effective. Change requires time. People need time to adjust to the change and create their own meaning out of change (Evans, 1996). Because change is a process not a single event, time is required to implement it (Fullan, 1982). Susan said that change requires time because it needs to be broken down into stages and steps. Completing the change all at once would be "overwhelming." A major change involves many steps that must be broken down and done in stages; these stages require time. Incremental changes allow the staff time to accept and adjust to new ideas. They can understand how part of the change relates to the past and understand the rationale behind it before they move onto the next stage. Kathy believed that change requires time and needs to occur gradually. She said she is the new person and does not want to create too much opposition or animosity. By bringing in little changes with a low risk level she can gain the support of her staff rather than have them rejecting her new ideas. It will take a while until Kathy is able to implement all the changes she would like in her school because she needs to make these changes gradually. " I haven't changed everything I want to change, because I can't. I need to hang onto these people and let them have power and let them feel like we are a team before we go on." Betty agreed that change required time. She said time was needed to work together and also time was needed for teacher staff development and professional development. Time was also required to give teachers "time to learn." Like the research presented by Evans (1996) teachers needed time to learn new skills and to participate in professional development activities necessary for the change.

A second component to the issue of timing is presented by Seyfarth (1991). He concluded that when a principal arrives new to a school this is an optimum time to implement change. During this transition period the staff are supportive of the principal and the changes he or she may implement. Betty and Kathy said they partly agree with this theory. Betty thought that as a first year principal the staff was expecting change. "As a first year I think they are a little more accepting of you making change because you are a different person." Others may welcome the change because the school has been stagnant. Kathy said, "Change is hard to do in your own backyard," because people become comfortable and complacent. Change is easier for new principals because they want their schools to reflect the type of school they wish to work in. Therefore new principals make changes in the schools so the schools will reflect them and their philosophies. When Kathy joined the school, as its new principal the teachers expected that some changes would be made. When the leadership of a school changes it is inevitable that some changes will be made in the school. People are expecting change so they may be more receptive to it as Seyfarth theorizes. Susan commented that a new principal could make changes more easily because they notice the improvements that are needed in the school. A new person in a school sees things differently and "brings in a whole new perspective." Someone who has been at the school for a long time may not notice all the intricacies of the school. "You become in a sense blind to the way of doing things to what is actually happening in your school."

The other side to the timing issue and being a new principal that directly opposes the theory proposed by Seyfarth is that a new principal does not know the staff and how they will support change. Susan believed, as a new principal one should not make a lot of changes immediately. "I think you should spend several months asking questions and listening." She got to know her staff and asked them questions about the types of changes they wanted in the school before she made numerous changes. Susan also got to know her staff before making sweeping changes. "Basically I sat back and listened and learned, because if you come in with all this power and authoritarian, and you're going to create change, you'll have a riot on your hands." Betty said an experienced principal in a school makes change more easily "because you know the staff and which direction they are going to go by doing change. You'll know which people don't like change, you'll know how to effectively help them with the changes." Kathy too thought she needed to make changes gradually as she got to know her staff. She knew of principals who had started in September and made too many changes and eventually ended up with staff members who wanted to leave the school. Change can occur more easier for a new principal as suggested by Seyfarth, but it can also be difficult making changes when a leader is unfamiliar with his or her staff and how they will react to change.

Understanding the Need for Change

Staff need to have their level of consciousness raised and believe there is a need for a change before they will accept change. Change is personal and when asking teachers to change, they are being asked to change their basic philosophy of teaching (Evans, 1996). Fullan (1999) and Hord (1987) support the notion that change involves changing basic beliefs and assumptions that a person holds. When people change their beliefs and philosophy, in essence, they are changing their attitudes. The personal aspect of change was something these principals all discussed. Betty discussed the attitudes people have and how they are tied into their personalities. Sometimes attitudes cannot be changed because they are embedded in each person's personality. Some people have an attitude that is resistant to change and it will not change as it is engrained in the person's personality. Susan made the comment that any change "really in effect is attitudinal." Each person has their own attitudes and opinions and when a person is asked to change, the first thing they must change is their attitudes. Evans (1996) found the same thing and he said change is complicated because it involves each person changing their beliefs and finding their own meaning. Susan also believed that attitude can determine the success of change. "Now you are asking me to do it differently. And it's going to be their attitude that determines how successful that change is. Whether or not they are accepting of change. So maybe everything is attitudinal in that respect." Susan agreed with Betty that change depends on how open-minded a person is to change. Sometimes teachers need to be willing to change and open to new ideas for the change to be successful. Kathy believed that it was necessary to change attitudes before people would change. Before major changes could occur in her school, the teachers needed to change their attitudes. They needed to be more student centered and recognize the reason they were teachers was to help students. All decisions in the school should be based on the best interests of the students in the school. Hord (2000) and Méndez-Morse (2000) also support the idea of valuing student learning and making students the focus behind any change initiatives. Once the teachers in Kathy's school change their beliefs about the purpose of education, change would occur, as the teachers would want to improve the learning environment for all students. Because the teachers in Kathy's school had faced few changes she also had to change the attitude towards change. She wanted teachers to accept that change was positive and be willing to try new things. In general Kathy wanted a more positive attitude in the school. Betty also wanted a more positive attitude. Both principals wanted a more positive atmosphere in which the positive aspects of teaching were discussed and teachers could learn from one another. They thought it would benefit the teachers if they talked about teaching and ways to improve their own practice. The literature on creating a Professional Learning Community supports this attitudinal change. In these schools decisions are made based on the student's best interest and teachers work together to improve the learning environment. Teachers regularly talk about ways to improve their practice (Fleming, 2000; Hord, 2000).

Fullan stated that behavior changes first and then attitudes: "Changes in attitudes, beliefs and understanding tend to follow rather than precede changes in behavior" (1985, p.393). Sometimes a change will bring about a change in attitudes. When Susan changed her assemblies from two separate ones to entire school assemblies, a change in teacher attitudes about mixing the junior high and elementary students occurred. Change can occur first before individual attitudes change. Other times attitudes and beliefs bring about the need for change. In Susan's school the teachers shared the attitude that they needed to reduce the fights in the school, this eventually lead to the larger change of character education. Evans (1996) theorized that any time teachers are asked to change, they are being asked to change their beliefs and philosophy on teaching. When philosophies and beliefs change, attitudinal changes occur as well.

The literature states that teachers need to be provided with a rationale for change. They need to understand why the change is occurring and what the change hopes to accomplish. A shared vision is one way advocated by many authors to provide rationale for change (Hord, 2000; Short and Greer, 1997; Méndez-Morse, 2000). Hord (2000) feels it is necessary to provide a rationale for changes that occur in the school. Fullan (1999) believes in "attacking incoherence" and creating meaning and connections to the past. Teachers need to understand how the change connects to the past and how a change will be similar and different to the past. All three participants in the study also followed this principle. They regularly provided explanation about what changes would involve and why changes were being made. Change was never made just for the sake of changing but instead had a purpose guiding the action. Betty commented that, "You have got to see a need for change too, there has got to be a reason to change." The ideal rationale Betty would provide is actually seeing the benefits of the change. She described a school that wanted to use Multiple Intelligences as a learning philosophy. The teachers visited another school that used this approach and they accepted it because they could see the benefits of the change. " What is your goal at the end? What do you hope to accomplish? Giving the person, like that little MI school, something [they see it works] it could work in our school. They've seen it and believe it." Kathy used modeling to show people changes she believed were important.

> Is it important to me? Why is it important to me? And if it is important to you for the right reasons, and I always say for my school, for my kids. Then you die on that mountain. Then you go out and you show people it is important to you by doing it and walking the talk. Show them it is important to you because just saying it is important is not the same thing.

By modeling Kathy could show her staff what she thought was important for the school and in doing so provide a rationale for change. Susan offered similar advice on providing a rationale for change. "When you are looking at initiating change, you have to say are we making change just for the sake of change: or making changes because we really need something to be different." Susan then decides what the objective of the change is. "Be clear on what it is you really want. What is it you really, really want? What I wanted was better discipline and a better atmosphere in the school and I wanted improved student achievement." Once the principal and the staff are clear on the rationale and objectives that the change will achieve it is easier to implement change.

For Susan, a problem with our education system was that we jumped on bandwagons that meant change with little or no rationale behind them.

> I think an area that has been a real weakness in education, has been our tendency to jump on a bandwagon and a different bandwagon every year, one year it is cooperative learning and all of a sudden cooperative learning is something we are not talking about anymore and we are doing something else.

A bandwagon approach means that innovations are easily added without rationale being provided. Many of these bandwagons are just copied from others and do not have a strong reason for implementing them. Change cannot be done for the sake of change, but instead must be initiated because it is believed the change will lead to an improvement in a specific area of the school. Essentially change is tied into the goals and vision for the school. Change is usually implemented because of dissatisfaction with a current situation not just for the sake of change (Fullan, 1982).

Sergiovanni believes in the notion that the school is a system and as a system all parts of the school must be considered in the change process. Because change occurs in an interconnected system; the school; change in one part affects the other aspects of the school (Fullan, 1999). Innovations in one part of the school affect the entire school (Hord 1987). Once change has occurred the school will never be the same as it was before because the entire system has changed (Sullivan, 1999). Because of the interconnected, systemic nature of a school, change can lead to unexpected changes in other parts of the school. In Kathy's school once attitudes started to change and people began to feel differently in her school, they became more client driven and have started to develop better relationships with parents. Betty said that all changes in her school affected the other areas "because everything sort of mixes together." For example changing the recess policy changed the atmosphere and the culture in the building. Susan implemented math curriculum alignment in her school and she predicts this may make the process of curriculum alignment easier in the other subject areas as it is familiar to the staff. It will take a number of years to see if the change to math curriculum alignment affects other areas of the school. Implementing a new character education program in Susan's school did not lead to unexpected changes. They anticipated the changes that did occur in the school situation and in the student's performance. Although these changes were predicted, change in one area of the school system such as student behavior; lead to changes in other parts of the school; like student performance.

Working Through Others

These principals needed to work through their staff in order to implement change and much of the change process was affected by working through others. Each one had modeled her beliefs for the staff on a regular basis. All three principals discussed their beliefs in terms of their personal vision that they referred to often when discussing the school. Susan wanted her school to be a safe place where the students respected others and got along with others. She also wanted to improve the student achievement in her school. Kathy wanted her school to be a place where all decisions were made based on the best interests of the student in the school. She repeated the phrases, "Is it good for kids?" and "How will this help kids?" often. Betty wanted the students in her school to become lifelong learners and responsible citizens. Their personal visions were passed on to the staff via their actions, goals for the school, and changes they were implementing. Each principal discussed the changes they made and used their own personal vision as the rationale for the changes.

The majority of the literature on change suggests that a vision is needed to implement change. The vision will guide the change and provide a direction to move towards. The vision should be one that the staff supports and believes in and provides meaning for the school (Hord et al, 1987; Evans, 1996; Vann, 1994). Betty plans on going through the visioning process with her staff in the upcoming school year. In the initial interview she discussed wanting to do some "backwards mapping," with her staff to reach a vision for the school. In the second interview she told me she has decided to do the mapping next year in conjunction with the implementation of character education. Betty stated that a vision is needed to "let us grow together," and provides a "goal" and rationale. Combining visioning with a major school change will provide the staff with a rationale for change and a common goal.

Susan and Kathy did not feel it was necessary for the change process to develop a formal vision with their staffs. Both of these administrators were using the mission statements that were in place at their schools when they arrived. These were developed by someone else but still fit the direction they envisioned for the school. Kathy was the least supportive of the idea of visioning with her staff. She said she inherited a mission statement and had not changed it since "All mission statements are apple pie, grand, life's good, and every child is going to learn," and "They (vision statements) all say pretty much the same things." Instead she told her teachers that all changes and decisions would be based on what is best for the students in the school. So the vision of the school has basically become focusing on the students and making sure all decisions center around the best interests of the students in the school.

Contrary to the literature these principals did not use a shared vision to provide a rationale for change (Hord, 2000; Evans, 1996). Betty was hoping to use a vision in the future to provide direction for her school, but has not use this technique thus far. All of the principals did provide rationales when implementing change and even referred to their personal visions in this rationale. The difference was that the rationale was based on their own personal visions and goals for the school, not on a shared vision that was developed with the staff. The reason the principals did not go through the formal visioning process was their belief that the staff supported their personal visions and the staff were alike and all shared a similar vision. Both Betty and Susan talked about the staff agreeing with what their vision was and Betty even said,

> I would say our whole staff basically has that same vision. This is where we want to go. So I do not think we would have trouble, [establishing a shared vision] it would be the semantics of the wording that we would have trouble doing.

She believed the staff all held a similar vision. Susan too thought that her staff had a similar vision and shared the same goals of focusing on student safety and student learning. Kathy did not feel her staff was in total support of her personal vision, but that was what she believed and what she was going to use as the vision for the school. "Decisions being made as a school, a staff, a teacher, need to be made for kids." She also commented that "I talked to everybody about the type of decision-making and they have to live with that, so that's my job and the buck stops here and I will be responsible for all decisions that are made." Even though the literature suggests setting a common vision with the staff to guide the change process, the practicing administrators did not use a vision to guide change.

I was interested in exploring the exact process principals and their staff went through during the change process. However I discovered there is not a definitive change process model found in the literature. Change is personal and situational. No one can predict exactly how change will occur in a particular setting due to the unpredictable and contextual nature of change (Evans, 1996; Fullan, 1999). Fullan (1999) explains the change theory in four stages: initiation, implementation, continuation, and outcome of the change. Fullan also uses eight lessons to describe the change process. The central premise to these lessons is that change cannot be put into one model. Sergiovanni (1991) discusses institutionalizing change, which is the process of making change part of the school's daily routine. It is similar to Fullan's continuation stage. He also discusses adoption and implementation, which also coincide with Fullan's theory. Sergiovanni feels a school is a system and all parts of the system need to be considered during the change process. Leithwood (1992) believes goals are central to change and guide the change process. Factors affect student learning, and strategies are needed to improve student learning. The final step is decision-making based on the goals, strategies and factors. In his theory the goals and plans are set, then the program is implemented. The principal monitors the staff and the process (1992). Each of the administrators I interviewed followed components of the change processes but because change is contextual, no principal followed these change models precisely. The principals used different strategies and processes depending on the change. No one process would fit into every situation and into every change these principals implemented.

Susan used a step-by-step process to implement change. She described the steps she used to implement character education as follows:

> Step one, for example with character education in particular, was to get in a particular speaker whom I knew the staff would absolutely love and would believe. I knew it she would captivate them, that was step one. Step two was to get her back Step three was to pick some one to lead the process. Step four was to build it into our plan or whatever. You do it in increments, unless it's something that's mandated and you have no choice.

She used increments throughout the process because it gave people time to think. Each change that Susan implemented was done in a similar way. She could describe the steps taken to arrive at each change she had implemented.

Susan also involved teachers wherever possible in the change process. As in the example above she selected a teacher to lead the process. This teacher is responsible for leading the monthly character education meetings and is in change of the process. By having a teacher lead the meeting the other staff feel more comfortable becoming involved and sharing ideas. She also kept staff informed so they were a part of the change. Asking for input of the staff also kept the teachers involved. They were asked to share ideas and input throughout the change process.

Susan also used brainstorming prior to the change process to determine which areas of the school the staff thought needed the most improvement. They used brainstorming to narrow down the areas of change the school wanted to focus on. Once ideas were generated the staff, parents and school council ranked the ideas in order of importance. The areas that were most important were written into the school's three-year budget plan.

Susan was the only principal who discussed the time needed to move from implementing a change to having that change become part of the schools' routines as discussed by Fullan and Sergiovanni. She said, "It took me two years to formalize character education in the school." "Major changes do not happen fast." She believed that a process was needed to move the change from the implementation stage until it became a part of the school's daily routine.

> We know for example, we started character education with training last year. This is our first year of actual implementation. We know we are making

> progress, but we can't just forget about it next year or put it on a back burner. It has to still be a focus. Maybe after three years, we can in a sense put it on the back burner in the sense that it is now automatic. And it is just something we all do without even talking and thinking about and we don't need the lead teacher for that anymore because it is all so ingrained. But that wouldn't happen after just one year, not for a big change.

Betty used a similar process to the one used by Susan. She too brainstormed with staff the areas of the school that they wished to improve. She used surveys to determine which areas staff, students, and parents wanted improvements in. She also asked staff what they liked, what they did not like, and what they thought needed to be changed in the school. She described changes that were made to the school's behavioral plan. For this change she asked all the staff for their input, then she found an existing behavioral plan from another school that could work in her school. She showed this plan to the staff and asked for their input and minor changes they wished to add to the plan. She described other changes in which collaborative brainstorming was used to discuss the problems the school was facing. Then they would discuss solutions and try as a group to solve the problem. Betty described the change process she uses as follows:

> It starts basically with a discussion and some brainstorming and then input from my stakeholders because I really like that. Also, you also have input from all these parent surveys, student surveys, and achievement marks, and you look at all that. You analyse things, you know you can analyse things too much though. You look also what's working and what's not working. Yeah and then the input and then mainly the solution is about what's important. Finances, you look at everything. I can't believe you need the global picture for a lot of major changes that you do. And I find sometimes the stakeholders do not have the global picture. Sometimes you jigsaw, sometimes you read research articles to back up. That's another strategy you could use is why are you doing this? So you read research to back up what you're doing and that's really important.

Betty uses all these strategies at the beginning of the change process to determine what aspects of the school need to be changed and to determine existing support for changes.

When I asked Kathy how she implements change she said it depends on the change. Some changes are brought about in a top-down manner.

> I mean if it's something that I believe very strongly in, you know I hate to say it, but it's this is what we are going to do. This is what we are going to do, help me decide how it's going to look. So that I get some feedback.

Kathy makes some decisions alone, but she still asks for input from the staff. She will let them know that she will make the final decision but ask what they think of ideas. Other times when she wants staff input she uses a process called "discussion and decision." In this process the staff will discuss an issue or problem and then arrive at the best solution together. Many times she will not vote but rather allow the decision to be made by the staff alone.

Kathy also used delegation as a strategy to implement change. She would delegate the responsibility for the change to one teacher and then expect the teacher to report back to her on how the change is progressing. To implement change she often would set the parameters and then let staff have a choice on how they wish to implement the change based on the preset conditions. For some changes, especially those that were mandated, Kathy "will guide it a lot more and I set up more support for the teachers to do it." She recognizes that during certain changes, teachers will require more support. Hord (1987) discussed support as key to any change. With any new program teachers will need training and support to make the change occur. Evans (1996) also said that training in the new skills is necessary to carry out any change.

All of the change literature stresses the importance of involving teachers during the change process. Collaboration involves the teachers working as part of the decision-making team (Fullan, 1999). Most of the authors support the notion of developing a community within the school, whereby the entire staff works together during the change process (Evans, 1996; Fullan, 1999; Sergiovanni, 1991; Short and Greer, 1996). In such a school the teachers are clear as to which decisions they have a say in and everybody understands their responsibilities (Evans 1996). Recent literature says that schools with the optimum staff participation have developed professional learning communities. In such a community everyone on the team is equal and there is no hierarchy (Evans, 1996); (Fleming, 2000). Everyone is working towards the same values and vision for the school (Sergiovanni, 1992).

The principals I interviewed all believe in empowering their teachers and involving them in the decision making process. A hierarchal organization still exists to some degree in each school rather than a true professional learning community. The teachers were responsible for some decision-making and input into the change process. The principal however was still very much a leader rather than an equal team member as the learning community literature suggests. They used brainstorming, group discussions and consensus voting to arrive at decisions that were supported by the majority of the staff. Wherever possible they not only got input from the staff they also got input from other stakeholders such as parents, students, and school councils. They also used committees with teachers either participating or leading the committee during the change process. Each principal shared times when group decision-making was not an option. During these times the decision was made solely by the principal and the staff were expected to participate in the change. The decisions became hierarchal rather then equal shared decisions. Betty shared an example where one teacher was opposed to many of the new ideas Betty implemented in the school. Betty told her, "This is the way it is, if you don't like it 'tough.' This is the school, you're here and I expect you to support my decisions." Situations such as this did not arise often but when they did Betty thought it was necessary to take a stand and show others she would not back down.

For the majority of decisions Susan involved the staff, in some instances she needed to make decisions with little group input and she was clear to staff which decisions these were.

> One is I don't make decisions that affect other people without consulting the other people. But at the same time, if a decision has to be made, I take all the information and make it. And people know where they stand; they know it's very clear.

The staff understand which decisions they have a say on and which ones solely Susan will make. In rare cases she too was firm with staff that opposed the change and let them know that "this is the way it is going to be, now get on with the job."

Kathy allows group decision-making for the majority of decisions. She wants the staff to decide on issues that directly affect them. She uses a discussion and decision strategy to gain staff input and then uses consensus voting to reach decisions. Leithwood, Begley and Cousins (1992) advocate a principal making some decisions unilaterally and involving staff in others. There are times when Kathy makes decisions with little staff input.

> I mean if it's something that I believe very strongly in, you know I hate to say it, but it's 'This is what we are going to do. This is what we are going to do, help me decide how it's going to look.'… And I always say how close I hold it to my heart about whether or not I allow consensus decision making or whether it's my decision or whether it's their decision. I try to be really up front when I'm giving information.

The things Kathy truly believes are needed for her school may be changes she decides on her own but she always lets staff know which decisions she will use their input on and which she alone will decide.

It is critical for the leader of an organization to monitor change and see how it is progressing throughout the change process. A principal needs to assess how his or her staff are adjusting to the change and offer support and assistance where it is required. The change researchers suggest various methods for evaluating the change process. Administrator can use surveys, informal classroom visits, discussions with staff, and consultations with teachers (Hord, 2000). They can also use questioning techniques in which they determine the teachers' opinions on the change (Leithwood and Montgomery, 1986). Other techniques principals can use are checkup meetings, allowing people to voice concerns, and assuring that concerns have been heard (Evans, 1996). The three participants in my study monitored the change process in various ways. Kathy uses informal discussions to monitor change. Occasionally she will use notes or reminders but these too are informal. She always asks her staff how they are doing and if they need assistance when starting something new. Visiting classrooms is another way Kathy can monitor change. She can interact with the students and see their work in the classrooms.

Betty likes to monitor change by being involved in the committees set up to initiate change: "I'm on almost every committee." By being a part of these committees she can receive first hand information about how the change is progressing. She also used informal monitoring. When she changed her kindergarten program, she used the questioning technique described by Leithwood and Montgomery (1992); but instead of asking teachers, she asked the parents. She asked if they were satisfied and happy with the new split kindergarten classes. Whenever Betty is monitoring her staff she likes to "be up front with them" and not "do anything behind my teachers' backs." She wants them to be aware of when they are being monitored. This is somewhat in keeping with the research by Hord et al. (1987) who say teachers should understand the purpose of monitoring. They take monitoring one step further and explain that monitoring changes and evaluating teachers must be kept separate. Monitoring change is done for the purpose of assisting teachers. None of my participants discussed this separation.

Susan discussed monitoring more in relation to the two major changes of Math Curriculum Alignment and Character Education that were occurring in her school. She is monitoring Character Education using informal methods such as listening to staff discussions at staff meetings and in the staff room. She is using actual student behavior as a more formal method of determining if the change has been successful. To formally monitor Math Curriculum Alignment she will use test results. She also uses the informal methods suggested by Hord of visiting classrooms, looking at student work, and listening to staff. She does not tell her staff the purpose of her monitoring as suggested by Hord (1987) and her colleagues. She said she can "monitor without them even realizing I'm monitoring maybe…I'm a very direct person, so I don't like to make it sound like I'm being sneaky about it, but you can gather a lot of information." By using all the informal methods and not informing staff she can gather a great deal of information. None of the principals interviewed used a formal evaluation process to monitor change like the one developed by Kimbrough and Burkett (1990) but instead used more informal methods like the ones proposed by Hord, Leithwood and Montgomery, and Fullan.

Each of the participants in my study faced instances where others were not totally supportive of the changes they were trying to implement. In his research, Fullan (1999) stated that resistance is needed. He said conflict and diversity can lead to breakthrough and resistors provide clues as to where problems may exist in the change process. If resistors are ignored the problems will increase later on in the change process. Evans (1996) and Rossman, Corbett, and Firestone (1988) believe that resistors may have valid concerns that need to be addressed or they may show the leader areas of the change he or she did not take into account including the needs of the school or the needs of the teachers. Betty said having resistors "is good for you." "They do make you stop and reflect if what you are doing is what you should be doing." Instead of going about change very rapidly, resistors provide Betty with an opportunity to sit back and reflect on the change process. Betty also described resistors as both positive and negative.

> You are hopeful resistors are good, but you are also looking at resistors and maybe bringing them along inch by inch to come your way, that's the other thing. So they are good in one way, but they are not good in the other way because they can be very negative if you are doing something, always nitpicking.

Resistors can be positive as they allow you to look at new aspects of the change and also strengthen the change as you try to convince others the change will be beneficial. The downside is they can create a negative atmosphere on staff by always criticizing others and the new innovation. Susan said resistors could be used to convince others to accept the change.

> If you are making this decision and you've got the real keeners on board, they will convince the others. But, sometimes what you want to do is get the real naysayers on board. Because once they come on board, they will be even more powerful in convincing the others. Sometimes you'll never get those naysayers on board and that's just the way it's going to be. And they're going to have to live with it because that's the decision that was made."

The people who resist change can be even more powerful in convincing others the change is positive if they accept the change. If resistors never agree with the change the principal will need to deal with them because the rest of the staff has decided to implement the change. Evans (1996) discussed resistors in his research and he feels they need to be dealt with to avoid negativity in the future. If the leader does not deal with resistors they will become more opposed and lead to increased problems later on. Kathy described the resistance towards change in her school as follows:

> But for the most part I never had anybody be defiant, if I could use a "kid" word about it; I never had anybody even be passive resistance. We sit at a staff meeting and we talk about things and if it was seeming like we weren't getting anywhere with it, we would take a vote and it would be a consensus vote. I never voted. But then the people who were on the nay side are continuing to support initiatives, perhaps not wholeheartedly, but they are not doing anything to not support them.

For the most part she has not had to deal with resistant staff members. Even those who may not totally support a change have eventually come on board and supported the change. Kathy did discuss a strategy she used if others rejected a change. She asked them "What do you want? Because you cannot just say no, you have to have a solution, because if you say no, you are not solving anything." By asking these questions she is asking teachers for their opinion on what they wish to try instead. Even though they are resisting they need to come up with an alternative solution. All three principals believed that resistance could be reduced if teachers understand the rationale behind the change. Therefore each principal provides her staff with a reason and rationale as to why the change is occurring as described in the previous section.

While working with staff during the change process it was necessary to provide them with support to make the change process more effective and a smoother transition. Hord (2000) believes in the use of professional development to learn new skills needed for change (2000). Evans also feels that teacher need logical, relevant training to learn the new skills that are required for any change (1996). In Susan's school she used professional development days to implement Character Education. She had a consultant come in to discuss the process and also to help the staff plan for the new change. She also used monthly meetings to provide staff with a chance to discuss the change and gain support in areas where they needed it. Betty will use professional development days next year at the start of implementing Character Education and also to set a vision for her school.

Fullan (1985) suggests that the best way to ensure staff get the support they need to make change successful, is to make sure the resources of time and money are in place. All three of the principals I interviewed wrote changes directly into their school budget. Susan talked about setting aside resources in the school budgets for the Character Education program "We built that into our school budget plan because we knew that we had issues involving discipline and student behavior and it seemed the best way to address them." Betty discussed the deadline date for the school budget and the fact that she wanted the changes for next year built right into the budget plan. This ensures that the teachers obtain resources, time to plan, and release time to learn new skills. Resources are necessary to ensure all teachers implement change effectively.

Conclusions

Overall the principals that participated in my study used many of the methods advocated in the change literature. Other methods were used to varying degrees. The principals are beginning to use practices such as developing a learning community but do not appear to be employing these practices in as advanced fashion as in the literature. Perhaps over time such strategies will become more widely used by administrators in the field. The participants did not use the practices that were suggested by only one or two authors. Since these practices are not commonly found in research or in practice they are likely not widely used.

Because change is personal and contextual the three participants varied in the practices they used during the change process. Each principal used the strategies that best tied into their own personality and the climate of the school. For instance one of the principals appeared to have a more open and trusting atmosphere in the school. This staff acted more as a team and collaborative decisions were made more frequently. The other two principals while delegating some responsibilities and decision-making still felt most comfortable monitoring the change process carefully and making decisions for the staff. The practicing administrators adopted strategies that fit into their own leadership style. Hence there will never be a definitive change process nor definite change strategies that will work for every principal in every school. A principal must use the strategies that work for them in their own school setting. They must know their staff, and the aspirations of the community and they must know themselves- their own vision, attitudes and values.

Chapter 5

SUMMARY, RECOMMENDATIONS, AND REFLECTIONS

The reason for this section is to summarize my research project. The section presents the purpose of the study, research methodology, a summary of the themes, personal reflections, recommendations for practicing administrators, and recommendations for future research.

Purpose of the Study

The purpose of this study was to determine how practicing principals implement changes in order to help a school better reflect its vision or goals. In answering the above question I hoped to determine the change process principals complete in practice and also the problems they encounter when instigating change. The following research questions were addressed in the study:

1. What problems do principals encounter when instigating change?
2. What strategies do principals use to implement change?
3. How do principals create an environment that is conducive to change?
4. How do principals monitor change?
5. How does a principal involve other staff members in the change process?

Research Methodology

The research methodology was used to gain insights into the process principals complete to help their school better reflect its vision. I interviewed three elementary or elementary/junior high principals in extensive, semi-structured interviews. I used semi-structured, open-ended questions because they allowed me to probe each participant for greater understanding into the change process. Follow up interviews were used to elaborate on data from the initial interview. These interviews were tape recorded and later transcribed. Each transcript was returned to the principals for confirmation of intended meaning.

Categorizing the data began the data analysis process. A story of practice on each participant was written to summarize the findings for each participant. Various sub-categories were formulated and these were compared to the literature findings. Themes were also formulated to provide insight into the data.

Summary of Themes

Upon analysis of the data three themes emerged. These themes were central ideas that were important about the change process. The first theme was the effect of relationships with staff on the change process. Changes were often determined by the relationship the principal had with her staff or by the relationships the staff had with each other. Change was also affected by how well the principal knew her staff. As new principals, each participant needed to consider when it was the best time to make changes so positive relationships with her staff could be maintained. The second theme was understanding the need for change. The staff needed to be made aware that a change was required. Change was instigated to solve problems or to help the school reach its goals. The others in the school needed to accept the rationale for change. Also the systemic nature of change needed to be recognized in that change in one area of the school affected other areas of the school. The third theme that emerged from the data was working through others. The principals modeled her beliefs and work with staff to develop a common vision. Each principal also delegated responsibility and involved others throughout the change process. The support of others throughout change was also a key to this theme. Each of these themes was related to the literature findings to determine if what occurred in practice was the same as what was suggested in the literature. The participants in my study practiced much of the advice advocated in the literature findings on a daily basis. Because of the contextual nature of change, the principals molded their practice to fit their own individual leadership style and their own school situations. One area where differences occurred was the differences between the principal's values and the school's vision.

Personal Reflections

When I initially began the task of selecting a research topic I knew I wanted to focus on some area of the principalship. My initial topic was principal efficacy. There are some principals who are more effective and exceptional than others just as there are teachers that are more effective than others. I wanted to know what characteristics and personality traits made some principals more effective than others. Upon initial examination of the topic and discussions with my advisor, I started to contemplate the role change plays in principal efficacy. I recalled advice I was given as an assistant acting principal by the senior administrator in our school. He said as a beginning principal one couldn't go into a school and make sweeping changes without offending others. When a new principal tries to change everything in a school it sends the message that nothing was right in the school in the past. This will greatly offend those who have taught at the school for a number of years and who feel pride in their past accomplishments. Instead he told me change must be done gradually and others need to see a need for change. They have to feel there is a problem before they are willing to make changes in the school. I thought a lot about this advice when considering my thesis topic. I wanted to discover if this advice was supported in the literature and also if practicing administrators followed similar thinking.

I found that most of the literature discusses, yet simplifies the contextual nature of change. Authors recognized that change is contextual and depends on both the context and the individuals involved in the change process. In the more recent literature findings the contextual nature of change is discussed with increasing importance. It became evident while interviewing these principals that change will never be explained or fully understood using a simple formula. There are many strategies administrators can adapt to ensure that change is more successful in their school. They can include and monitor others in decision-making, use a vision to guide change, deal with resistance, provide rationale for change, consider timing and the personal aspects of change, create an atmosphere that is conducive to change, and remember that change occurs in a system. However no leader will be successful in implementing change if they do not accurately read their organization and consider their own personality traits. A successful leader must be able to read the people in the school and predict how the change will work in the school. They must involve others in making the change and, they must consider the needs, culture and goals of all people in the organization. A leader must also consider their personal style. They must understand themselves and what makes them comfortable in the school. An understanding of one's own goals both personal and for the organization is crucial as well. Change, Fullan (1982) and others said, is a process, what I now recognize is that change involves changing oneself and not just others. It means being open to others' suggestions (especially the resistors), it means empowering others and letting go of control. It means developing trust and then trusting people to make changes. It also means keeping the goal clear, and ensuring that relationships are strong and united.

Recommendations for Practicing Administrators

Based upon the research findings and upon the information gathered from participants there are many implications for practicing administrators to consider during the change process.

The first is that change is contextual and personal. Before a principal can implement change they must consider the goals and philosophy of the school. What are the main goals for the school and what needs to be changed in order to accomplish these goals should be considered. Change cannot be done just for the sake of change but rather because it will satisfy an actual need in the school. The principal needs to examine the culture of the school. Changes should not break up the existing culture but rather should support it. School cultures are deeply embedded and part of the people in the school. Because cultures run so deeply, they cannot be easily changed, instead new innovations should fit the existing culture of the school. Change cannot be copied from one organization to the next because of the contextual nature of change. What works in one setting will not work in another in which the people have different goals and experiences and share a different culture.

Both the literature and practice is now moving towards teacher empowerment. Many schools are becoming collaborative cultures, in which teachers are part of the decision-making team. It is beneficial for principals to understand the principles and philosophies of such a school. They need to understand the basic tenants of such a school and also how such a school will look in practice. Principals also need to understand how to create a culture that is supportive of group decision-making and change so that the teachers in their schools can become empowered and have a say in the decisions that affect their daily lives.

Thirdly because change is contextual it is important for practicing administrators to become familiar with the various theories on the change process. Also practicing administrators can gain insight into many strategies that will make them more successful change agents by studying the change literature. Since so many different methods will work depending on the school and the situation, a principal should understand many different practical solutions they can employ during the change process. If a principal understand principles such as empowerment and collaboration they will become more successful change agents.

The forth implication is that training for future administrators should include courses on the change process. It is important for neophyte principals to understand the change process and the many different theories on change. Training in the strategies and methods that lead to more successful change would benefit all administrators.

Recommendations for Future Research

There has been a great deal of research done on the change process over the years. The research has changed from a practical, top-down approach to change to a more personal and contextual one. Additional research is needed to further explain and increase understanding of the change process.

As my study focused on principals who were new to the principalship it would be beneficial to conduct a similar study, but use participants who have been practicing administrators for a number of years. Leithwood (1992) concluded that principals in the beginning of their careers implement change to make things run smoothly, as they grow in their careers the changes they make reflect needs of the school. In my study I found principals making changes that were not just to help make the school run better but were actual major changes that would lead to the attainment of the school's goals. All three participants commented that they project they will make change differently later on in their careers. It would be interesting and further the research to compare the change processes and perceptions of neophyte principals and those of seasoned administrators.

More research is needed on the actual change process. Much of the current change literature says that change is a process that cannot be easily defined (Fullan, 1999; Hord, 2000). While I interviewed a small number I was able to discover similarities and differences in the processes each of these administrators used to implement change. Some of the methods they used were discussed in the literature; others were not. It would be beneficial to the research to interview more principals and ascertain what processes they go through when implementing change.

Thirdly as the premise of collaborative school cultures becomes more of an actuality in schools, increasing research is needed to see how change is implemented in such schools. In schools with collaborative cultures all staff in the school share the decision-making equally. Everyone acts as a team contributing to decisions and problem solving. In such a school change occurs differently then in one where change is led by a principal. Since many schools are only beginning to become collaborative cultures, it would beneficial to research to see how change actually occurs in a truly collaborative school and if the change process is the same as it is in a school where the principal still leads and dictates some decisions that will be made.

Appendix A

Letter of Purpose

January 31, 2000

Dear_________,

Thank you for agreeing to participate in my thesis *Principals' Perceptions of the Change Process.* The purpose of my study is to determine how principals instigate changes in order to help a school better reflect its vision or goals.

Your involvement in the study will consist of two, one-hour interviews. These will be tape recorded and transcribed. A copy of all transcripts will be made available to you to review, edit and to delete any passages you do not want included in the study. All information will be kept confidential. No information will be included that could identify you or your school. You have the right to withdraw from this study at any time and the information you had given would not be used in the study.

The research findings will only be used in my Med. thesis document and in associated publications or presentations. A draft review of the findings will be provided to you. A complete copy of the thesis will also be provided to your district library.

Thank you for your time and involvement. I look forward to speaking with you.

Sincerely,

Rhonda Fischer

Appendix A

Sample Interview Questions

1. How long have you been a principal?
2. Can you tell me about the school and your staff?
3. Can you tell me about how you plan to bring about changes to help your school reach its goals? Can you talk about these?
4. What strategies do you use to bring about changes?
5. Can you tell me about the specific steps you take in implementing change and how the staff reacts to these?
6. Often one change brings about others. Has this happened to you? Can you describe such an event?
7. How do you develop trust and an atmosphere where others are willing to change?
8. If you involve others in making changes how do you monitor what is happening?
9. How do you work with staff that chose not to be involved in the change process?
10. Have you ever made a change that you were later uncomfortable with?
11. What advice would you give others on making changes?
12. Can you tell me about some of the changes you've made or set for the school that are related to goals or your visions?
13. Could you tell me about the teachers and they're experiences - are they a young or old staff. Does this affect their willingness to change?
14. What is your vision for the school?
15. How was this vision arrived at? Are the changes you've implemented a reflection of this vision?
16. You said you have not yet set a vision with the staff, but you plan to do so. What is your personal vision for the school?

17. How do you make the school reflect the values and beliefs you have?

18. Clarify vision and goals - why are they needed to create change?

19. Could you elaborate on the statement you made- "Collaboration of the staff there's no problem being solved if they are not on side?"

20. How do you think a beginning principal should go about implementing change?

21. You discussed not making changes too soon when you are the new person in the building. How should a new principal get a feel for staff and how should they bring about changes?

22. You said resistance is good, why?

23. Some of the literature talks about different problems that people have in making changes. Do you see any real problems that you have making changes or that you guard against?

24. You discussed attitudinal change in the last interview-could you clarify some of the attitudes you wish to change? Does this include an attitude that is resistant to change?

25. Is an attitudinal change a prerequisite for other changes?

26. How do you empower others?

27. You discussed that staff are more receptive to change if they feel safe and supported - how do you do that?

28. You mentioned the winter carnival and that others accepted the change because it was not top down. Does having a say in the decision making effect how staff view a change.

29. When monitoring others you said you check and see if they need help and how things are going. How do you check and see if the change is progressing or to monitor the success of the change?

30. Can you clarify the statement "Show them it's important because just saying it's important isn't the same thing? You show them it's important and them you just stick with it." How do you show others what is important?

31. You said it took two years to implement Character Education, do you think that major changes require a long time to implement? Why?

32. You discussed making people more accepting of the change by implementing

change in small increments and making it a smoother transition. How else do you make the transition smoother?

Appendix B

Research Consent Form

I, ______________________________, hereby consent to be

- Interviewed and
- Tape recorded

By Rhonda Fischer for the purpose of the study entitled Principals' Perceptions of the Change Process.

I understand that:

- I may withdraw from the research at any time without penalty
- All information gathered will be treated confidentially
- Any information that identifies me will be destroyed upon completion of this research
- I will not be identifiable in any documents resulting from this research

I also understand that the results of this research will be used only in the following:

- Research thesis
- Related publications and presentations

____

Signature

Date signed: ______________

For further information concerning the completion of the form, please contact
Rhonda Fischer
(780) 463-6051
32 Keyhole Crescent,
Edmonton, AB T6P 1B7

Or
Margaret Haughey Ph. D (Research Supervisor)
University of Alberta
(780) 492-7609

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